
**EXTERNAL INTERIM EVALUATION
OF THE
PROJECT TO REDUCE CHILD LABOR IN COLOMBIA
“SOMOS TESORO” PROJECT**



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**O'BRIEN &
ASSOCIATES**
I N T E R N A T I O N A L

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LIST OF ACRONYMS

ANM	National Mining Agency (<i>Agencia Nacional de Minería</i>)
ARM	Alliance for Responsible Mining (<i>Alianza por la Minería Responsable</i>)
ASM	Artisanal and Small-Scale Mining
CL	Child Labor
CLM	Child Labor in Mining
CMEP	Comprehensive Monitoring and Evaluation Plan
DBMS	Direct Beneficiary Monitoring System
GoC	Government of Colombia
FARC	Revolutionary Armed Forces of Colombia (<i>Fuerzas Armadas Revolucionarias de Colombia</i>)
ICBF	Colombian Institute for Family Wellbeing (<i>Instituto Colombiano de Bienestar Familiar</i>)
ILO	International Labor Organization
IO	Intermediate Objective
M&E	Monitoring and Evaluation
MINMINAS	Ministry of Mines and Energy (<i>Ministerio de Minas y Energía</i>)
ENETI	The National Strategy to Prevent and Eradicate the Worst Forms of Child Labor and Protect Youth Workers, 2016 – 2026 (<i>La Estrategia Nacional para Prevenir y Erradicar las Peores Formas de Trabajo Infantil y Proteger al Joven Trabajador</i>)
MOL	Ministry of Labor (<i>Ministerio del Trabajo</i>)
NGO	Non-Governmental Organization
OSH	Occupational Safety and Health
SENA	National Training Service (<i>Servicio Nacional de Aprendizaje</i>)
SIRITI	Integrated Information System for the Identification, Registration and Description of Child Labor and its Worst Forms (<i>Sistema de Información Integrada para la Identificación, Registro y Caracterización del Trabajo Infantil y sus Peores Formas</i>)
SISBEN	Beneficiary Identification System (<i>Sistema de Información de Potenciales Beneficiarios de Programas Sociales</i>)
TOC	Theory of Change
TOR	Terms of Reference
TPR	Technical Progress Report
USDOL	United States Department of Labor
WFCL	Worst Forms of Child Labor

EXECUTIVE SUMMARY

On September 30, 2013, the U.S. Department of Labor’s (USDOL) Bureau of International Labor Affairs (ILAB) awarded Pact and its partners—Fundación Mi Sangre, Fondo Acción and Alliance for Responsible Mining—US \$9,000,000 over a four-year period to support the project entitled “Somos Tesoro,” (*We Are Treasure*), which aims to reduce the number of children and adolescents ages 5-17 engaged in child labor, with a focus on child labor in mining (CLM).

The project initially targeted 19,566 children and adolescents from eight targeted municipalities in Antioquia and Boyacá who are engaged in or at risk of entering exploitative child labor, and 9,783 households of targeted children using a multifaceted approach that focuses on (1) formalizing artisanal and small-scale mines; (2) improving household social and economic resilience; (3) increasing access to quality education; and (4) improving institutional mechanisms that protect and prevent children and adolescents from engaging in CLM.¹

The mid-term evaluation sought to assess program design, review the ongoing progress made toward the achievement of project objectives and targets, identify ways to improve delivery and enhance coordination among key stakeholders, and identify promising practices and ways to promote their sustainability. Within this context, the evaluation Terms of Reference (TOR) contained a specific set of questions to guide the evaluation. These questions addressed key issues related to the project’s (1) relevance, (2) design and validity, (3) progress and effectiveness, (4) efficiency, (5) management, and (6) sustainability.

Relevance

The Somos Tesoro project has identified appropriate strategies to address root causes of child labor in mining which include: (1) the prevalence of unregulated artisanal and small-scale mining; (2) household poverty/socioeconomic vulnerability; (3) poor access to quality education; and (4) weak mechanisms to protect and prevent CLM. The project design appropriately recognizes the importance of implementing an integrated approach to generate the necessary synergies that can collectively reduce child labor in mining in Colombia.

Validity of Project Design

The project’s theory of change defines the necessary pathways for reducing child labor in mining in Colombia and appropriately calls for an integrated implementation approach. Several challenges have emerged that may negatively impact the theory of change, including the presence of armed groups in the targeted communities, the dependence on the will of multinational mining companies to support the process of formalization, the government policy that allows only legal mining units to proceed with formalization, and limited employment alternatives in the targeted communities.

¹ In May 2016, the project’s target numbers were reduced to 13,000 children for education services and 3,500 households for livelihood services.

Project Progress

The project was on track to achieve its targets for its **formalization** component, as measured by the percentage of ASMs that are in the process of completing formalization requirements and the number of ASM miners who have received OSH training. The **livelihood** component was also making adequate progress in the numbers of households and individuals participating in workshops to reduce household socioeconomic vulnerability. But there are serious deficiencies in the numbers of households receiving job skills training and production initiatives that could help increase household assets.

The project’s **formal education** services are on track in terms of the number of beneficiaries of the Pazalobien methodology. However, the project has made little or no progress in meeting its targets for non-formal and vocational education services. The project’s **public policy** component is on track to achieve most of its targets during the project’s final six months, but achievement of the objective to integrate child labor in the municipal development plans for 2016-2020 must be completed by April 2016, and will require immediate action by the project team.

The factors contributing to slow project progress stem from (1) differences in understanding between donor and grantee on the total number of direct beneficiaries² as well as the implementation timelines and procedures; (2) the unusually high turnover of key project personnel; (3) increased insecurity issues forcing the interruption of activities; (4) the lack of specific livelihood and education strategies;³ and (5) the delays in finalizing monitoring and evaluation mechanisms including the CMEP, baseline survey and DBMS.⁴

Effectiveness

The qualitative assessment revealed the successful promotion of child-protective environments through formalization activities that will decrease CLM and through livelihood activities that can decrease the socioeconomic vulnerability of families. However, the latter will have limited impact on preventing CLM until additional employment options are available for adults. The project’s public policy component successfully led a participatory process in developing and advocating for policies that prevent CLM and protect out-of-school youth who are engaged in CLM.

The implementation of the Pazalobien methodology has integrated issues of CLM into the curriculum contents. The process of transferring the methodology to teachers has resulted in improved quality of education by introducing dynamic, participatory and student-centered teaching methods, which, in turn, are applied to other areas of the educational curriculum. The project’s formalization component is filling an important gap in OSH training for miners and is raising their awareness of the health and safety hazards faced by children in mining. The livelihood strategies are likely to reach households that are part of the subsistence-mining sector,

² On May 18, 2016, USDOL approved Pact’s proposal to reduce the number of direct beneficiaries as follows: 13,000 children for education services and 3,500 households for livelihood services.

³ The project is currently developing strategies to intensify education and livelihood services for the reduced number of direct beneficiaries.

⁴ The project’s direct beneficiary monitoring system has now been finalized and is pending USDOL approval.

where the greatest number of children working in mining-related activities may be found. A major concern is the slow progress in developing and implementing non-formal and vocational education services, which are the two strategies with the greatest potential to reach out-of-school youth.

Efficiency

In the area of **financial efficiency**, Pact and its partners are implementing an acceptably efficient project, with reasonable funding allocations designated for labor, operating costs and output-based activities. The project has underspent its funding to date, partially due to the devaluation of the Colombian peso. The grantee estimates that there has been over US\$750,000 in cost savings to date due to this devaluation, which is almost nine percent of the total budget. As of mid-term, nearly 62 percent of the budget is still available to implement activities during the last 40 percent of the timeline, or final 19 months.

With regard to time and administrative procedures, the **time gaps** between developing and approving key project documents—which are principally due to the project’s written deliverables not meeting USDOL technical requirements—have resulted in delays in the initiation and execution of project activities. These setbacks may reduce the project’s ability to carry out all project activities and/or provide the necessary follow-up in order to increase sustainability.

Project Management

Key deliverables: There were a number of challenges and/or delays in delivering and approving key project documents and monitoring tools, including the project document (ProDoc), baseline study, comprehensive monitoring and evaluation plan (CMEP) and direct beneficiary monitoring system (DBMS). These difficulties can be attributed to a number of factors including: 1) the differences in understanding between donor and grantee with respect to the total number of direct beneficiaries as well as the implementation timeline; 2) the discrepancies between strategies described in the project proposal and those described in the CMEP; 3) the turnover of all three key project staff positions—including the project director, M&E official and livelihoods and education official—within the project’s first year; and 4) the delivery of project documents or monitoring tools that required technical feedback and editing before meeting USDOL standards.

Disjointed Implementation Approach: The project has largely been operating in a disjointed manner, weakening its potential impact. The turnover of key project management staff contributed to the execution of project activities in an isolated manner. There is still time, however, to improve the integration between project components.

Sustainability

The project’s **formalization** and **public policy** components have the greatest potential for sustainability due to their alignment with government initiatives and strategies. The project’s **formalization** component directly supports the Colombian government’s ASM formalization goals and its strategies provide a clear contribution to the formalization process. Private sector support is crucial in the ASM formalization process, and the project has successfully gained the necessary support of at least one large multinational mining company.

The project’s **public policy** component is facilitating a participatory process in developing the Technical Annex on CLM as part of the National Strategy for the Eradication of Child Labor (ENETI 2016-2026). Furthermore, if the project is successful in integrating CLM into the upcoming municipal development plans, funding will be allocated to support this issue through 2020. The project’s public policy component is inadequately staffed to successfully carry out the urgent lobbying activities and the upcoming Technical Annex pilot initiatives.

The project’s formal **education** strategy shows some degree of sustainability at the local level; however, its scalability is uncertain without formal approval from the Ministry of Education. It is difficult to identify any sustainable aspects in the non-formal and vocational education services, given the limited progress to date. The **livelihood** strategies will have some degree of sustainability if, in the 19 months left to go, the pilot livelihood production initiatives can be designed and piloted, and successful results scaled up.

Recommendations

The following **recommendations** are intended to provide the Somos Tesoro project staff and the donor with suggested actions that can further strengthen project outputs and outcomes.

1. Improve coordination in the implementation of project strategies: Under the guidance of the Somos Tesoro project director, develop a plan to improve coordination in the implementation of project activities in the four project components.

Encourage project staff from all four components in the targeted regions to meet more frequently as a team, and identify areas of possible collaboration such as the identification of out-of-school children and adolescents.

Assess the results of the increased coordination efforts, such as enhanced synergies among components, and disseminate findings to project staff and stakeholders.

2. Provide additional staff support for public policy initiatives that are time-sensitive: Under the direction of the project’s public policy officer, the project should place an immediate priority on the integration of CLM issues into municipal development plans. This will require additional support from project staff for urgent lobbying activities in each targeted municipality. Follow up with the planning and implementation of the Technical Annex pilot initiatives that can demonstrate the effectiveness of strategies to decrease CLM.

3. Focus on livelihood strategies that are showing little progress: Under the direction of the project’s livelihood and education officer, immediately address the two livelihood strategies that have made little or no progress: job skills training and production initiatives.

For job skills training, the project must complete its analysis of labor markets in each municipality in order to adapt employability trainings to local contexts. This ensures the applicability, relevance and sustainability of resulting activities. Partner with state agencies that offer job skills training such as SENA. Link job skills workshops with vocational education services.

Ensure the necessary buy-in and support for pilot initiatives among municipal authorities, private-sector stakeholders and civil society organizations. Select households from target municipalities, giving priority to subsistence miners among whom the largest concentration of CLM is found. Monitor the progress of pilot initiatives and disseminate results.

4. Implement vocational education services in coordination with existing technical training institutes: Under the direction of the project director and livelihood and education officer, ensure the implementation of vocational education services with SENA or other training institutions.

Consider requesting a decrease in the number of vocational education beneficiaries (E4) from 7,038 and an increase in the number of non-formal education beneficiaries (E3) from 400, keeping the total number of beneficiaries the same. This will allow for the project to augment the intensity of services and length of intervention for vocational education beneficiaries.

5. Disseminate frequent updates on project progress and effectiveness: Under the direction of the project’s communications officer, provide frequent updates to government counterparts and other key stakeholders, in the form of written communications and forums to review the project’s progress in implementing the planned activities and the objectively verifiable results of these activities.

6. Seek formal endorsement from the Ministry of Education: The project’s education partner, Fundación Mi Sangre, and project director should seek formal endorsement of the Pazalobien methodology from the Ministry of Education based on the effectiveness of the methodology in the targeted formal education institutions and the curriculum’s alignment with national civic education requirements. This will help ensure the sustainability of the Pazalobien methodology beyond the life of the project.

7. Examine the root causes of high staff turnover: Pact headquarter staff should examine the causes of high staff turnover during the project’s first two years and develop strategies to mitigate the unusually high rate of replacement in future projects of a similar nature.

8. Review and possibly adjust the number of direct beneficiary targets: Pact headquarters and USDOL staff should review and possibly adjust the number of direct beneficiary targets that is more realistic and permit a more intensive package of livelihood and education services for beneficiaries.⁵

9. Apply for a no-cost extension: Somos Tesoro project management should consider applying for a no-cost project extension for up to six months, based on the current cost savings. This additional time would enable the implementation and analysis of quality demonstration/pilot initiatives for the livelihood, vocational education and public policy components.

⁵ On May 18, 2016, USDOL approved Pact’s proposal to reduce the number of direct beneficiaries as follows: 13,000 children for education services and 3,500 households for livelihood services.

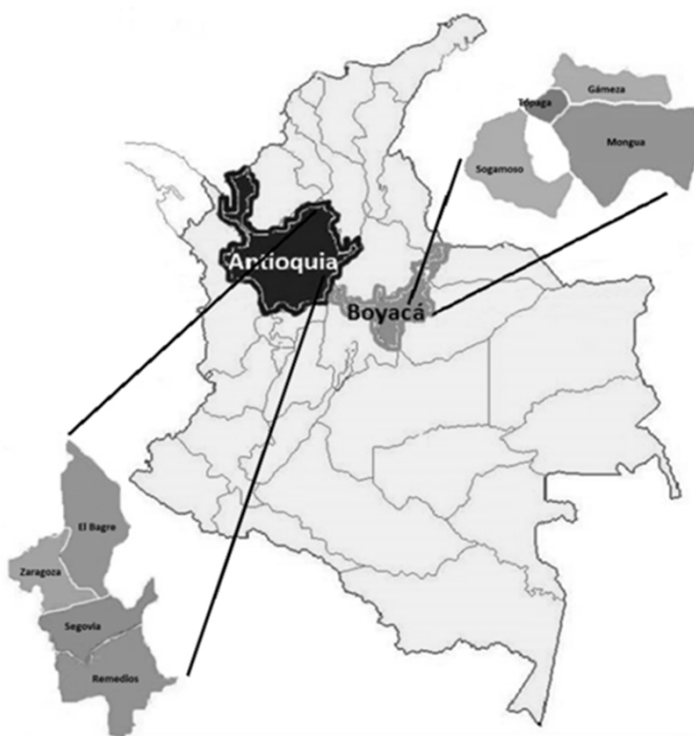
I PROJECT DESCRIPTION AND BACKGROUND

1.1 PROJECT DESCRIPTION

On September 30, 2013, the U.S. Department of Labor’s (USDOL) Bureau of International Labor Affairs (ILAB) awarded Pact and its partners—Fundación Mi Sangre, Fondo Acción and Alliance for Responsible Mining—US \$9,000,000 over a four-year period to support the project entitled “Somos Tesoro,” (*We Are Treasure*), which aims to reduce the number of children and adolescents ages 5-17 engaged in child labor, with a focus on child labor in mining (CLM).

The Somos Tesoro geographical target area includes four municipalities in the gold-mining region of Northeast Antioquia—El Bagre, Zaragoza, Segovia and Remedios—and four municipalities in the coal-mining region of Boyacá—Tópaga, Mongua, Sogamoso, and Gámeza (see map).

The project initially targeted 19,566 children and adolescents engaged in or at risk of entering exploitative child labor, and 9,783 households of targeted children using a multifaceted approach that focuses on 1) formalizing artisanal and small-scale mines; 2) improving household social and economic resilience; 3) increasing access to quality education; and 4) improving institutional mechanisms that protect and prevent children and adolescents from engaging in CLM.⁶



Map of Somos Tesoro Project Implementation Municipalities

While Pact is responsible for the overall management of the project, the four partners share the responsibility for carrying out the activities under each project component. These components and the primary implementing partner(s) are listed in Table 1.

Table 1: Somos Tesoro Project Components and the Corresponding Implementing Partner(s)⁷

Component	Implementing Partner(s) Responsible for Carrying Out the Activities
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⁶ In May 2016, the project’s target numbers were reduced to 13,000 children for education services and 3,500 households for livelihood services.

⁷ Source: Somos Tesoro Project Document, February 2016

Component	Implementing Partner(s) Responsible for Carrying Out the Activities
1) Formalization: Formalization of artisanal and small-scale mines (ASM) and capacity development	<ul style="list-style-type: none"> • Alliance for Responsible Mining (ARM)
2) Livelihood: Improvement of household social and economic resilience	<ul style="list-style-type: none"> • Pact • ARM
3) Education: Retention of children and adolescents in education system by improving access to quality formal, non-formal and vocational education	<ul style="list-style-type: none"> • Fundación Mi Sangre (formal and informal education) • Pact (vocational education)
4) Public Policy: Improvement in institutional mechanisms at the local and national level that protect and prevent children from engaging in CLM	<ul style="list-style-type: none"> • Fondo Acción • ARM

1.2 PROJECT BACKGROUND

Mining has been conducted in Colombia since before the arrival of Europeans, but the current influx of foreign investment in mining is a relatively recent phenomenon, mostly as a result of the improved security situation in a country that has endured more than 50 years of armed conflict. Colombia is currently South America’s second largest gold producer and has the continent’s largest coal reserves. By 2019, the GoC plans to double coal exports, quadruple gold exports, and triple the area under mining.⁸

With such rapid growth, the mining sector is undergoing the typical challenge of identifying a united voice among the large-scale mining industry and the artisanal and small-scale mining operations (ASM). There are approximately 6,000 artisanal mines in Colombia, which account for over half of all mineral production and provide a subsistence income for hundreds of thousands of Colombians.⁹ Artisanal and small-scale mining (ASM) is characterized by the lack of titles to mines, poor environmental and occupational safety and health (OSH) standards, lack of legal employment contracts and social security, inefficient and fluctuating productivity with low levels of working and investment capital, inadequate technical knowledge, and rudimentary tools and techniques with low levels of mechanization.¹⁰ Artisanal mining may include gold panning and metal collection, which are activities often conducted by single-parent households.

In spite of the importance of artisanal mining as a subsistence livelihood for thousands, the 2001 Mining Code (Law 685) re-categorized ASM as illegal.¹¹ To address this legal difference, and recognizing that many of the potential economic benefits of artisanal mining are lost through poor mining practices, the Government of Colombia (GoC) is now focused on the process of formalizing artisanal mining by developing a regulatory and policy framework. However, according to researchers with the Alliance for Responsible Mining, government authorities lack the

⁸ Pact, Somos Tesoro, Project Document: Project to Reduce Child Labor in Mining in Colombia, Feb. 2016.

⁹ Pact, *Ibid.*

¹⁰ Pact, *Ibid.*

¹¹ Government of Colombia, Mining Code, Law 685, Chapter 16 and 17, <http://www.alcaldiabogota.gov.co/sisjur/normas/Norma1.jsp?i=9202>.

capacity and resources to regulate and supervise the informal mining sector, and to ensure that basic occupational health and safety standards are met.¹²

Child labor in mining: Due to the informality of artisanal mining, there are no reliable statistics on the number of children engaged in activities related to the mining sector. In 2012, the Colombian Ministry of Labor’s System for the Identification and Registration of Child Labor (SIRITI) registered 5,200 children working in mines and quarries in Colombia. However, this number is likely much higher when taking into consideration the number of children who engage in mining-related activities such as transportation, metal processing and ancillary activities such as selling food and providing supplies to miners.

Mining is considered to be one of the ‘worst forms of child labor’ (WFCL) as children are required to carry out hard, physical labor in hazardous and potentially corrupting conditions. Children working in the mining sector are involved in a wide range of activities including loading, packing and storage related to coal mining, and *barequeo* (gold panning) and *chatarrero* (scrap mining) in gold mines. They are also involved in the transport, processing and sale of these minerals as well as in ancillary activities such as selling food and supplies to the miners. In gold mining, activities related to processing could involve the use of mercury or other dangerous substances. In mining-related work, children face proportionately greater physical and mental stresses than adults due to their growing bones and organs, their vulnerability to disease and toxins, and their need for safe, nurturing environments to support their development. Their precarious, informal living and working conditions, accompanied by weak state presence, lead to lack of access to basic household services, limited access to health care and education, including referral services for child protection, and eventually even greater disenfranchisement and vulnerability.¹³

Environmental and health impacts of gold mining: The gold mining regions targeted by the project include the northeast municipalities of Segovia, Remedios, Zaragoza and El Bagre. Aside from the well-known gold deposits found in this region, these municipalities have the distinction of being the world's largest mercury polluter per capita. Artisanal miners bring their powdered gold-bearing rock to town where it is processed in an *entable*, or processing center. These centers, which operate in the urban areas, use mercury to separate the gold from the rest of the ores. The gold amalgam is later burned to extract the pure gold and the mercury vapor is emitted into the air, without the use of any kind of filtering system.

A 2010 study conducted by the University of British Colombia documented levels of mercury in the air in front of the *entables*, which are located throughout the town centers. The levels ranged from 2000 to 10000 ng of Hg/m³ of air, when the World Health Organization established as 1000 ng/m³ the guideline for public exposure. The contamination is not limited to the processing centers, though. Schools, homes, grocery stores and the inhabitants within these town centers are exposed to levels of mercury in air that are 10 to 20 times higher than the normal levels analyzed

¹² Echavarría, Cristina, “¿Que es Legal? Formalización de la minería artesanal y de pequeña escala en Colombia,” Sept. 2014, p. 11. http://responsiblemines.org/files/Que_es_legal_-_Cristina_Echavarría_U.pdf

¹³ Pact, *Op. Cit.*

outside the towns (10 to 20 ng/m³). The study determined that children are being impacted from exposure to mercury vapor.¹⁴

Coal mining also has a negative impact on human health and the environment throughout the extraction, transportation and combustion stages. The main impacts from coal extraction in Colombia include deterioration of flora, fauna, and water sources, and air pollution that generates an increase in respiratory diseases. Many coal mines in Colombia are unlicensed and unregulated, according to project staff, and therefore they do not necessarily comply with the requirements for air monitoring equipment or ventilation systems. As a result, methane gas explosions are not uncommon. Boyacá, one of the project’s targeted departments, reported the highest rate of fatalities in the country. Most of these were attributed to methane gas explosions in its coal mining operations.¹⁵

Regional Security Issues: It would be remiss in this discussion not to mention the illegal mining or mining-related activities conducted by the armed guerilla and paramilitary in regions targeted by the Somos Tesoro project. In 2011, the Office of the Inspector General issued a detailed report stating that illegal mining activities along with coca cultivation and extortion were the principal sources of income to finance illegal armed groups such as the Revolutionary Armed Forces of Colombia (FARC), the leftist armed group that has waged a five-decade war on the government, and other illegal groups known as *Bacrim* (Spanish for “criminal bands”).¹⁶

Somos Tesoro project staff in the northeast region of Antioquia, many of whom were former child miners or came from mining families, shared personal stories of living and working with the increased presence of illegal armed groups. They shared personal stories of the extortion fees (known as *vacunas*, in Spanish), which are the “protection” payments that illegal armed groups impose on all businesses and mine owners in their territory. Some staff members spoke of parents that had to pay several *vacunas*, if more than one armed group claimed territory rights.

Constant reminders of the insecurity in the region, the road closures, the explosions, the extortion fees and the murders have all been part of daily life for these young men and women that are now part of the Somos Tesoro staff. In fact, just after the evaluation fieldwork ended, four members of an armed group were massacred in one of the project’s target municipalities.¹⁷ These security issues are important to keep in mind as the findings, conclusions and recommendation are discussed in the project evaluation report.

¹⁴ Marcello Veiga, “Antioquia, Colombia: the world’s most polluted place by mercury: impressions from two field trips,” University of British Columbia, February 2010.

https://redjusticiaambientalcolombia.files.wordpress.com/2011/05/final_revised_feb_2010_veiga_antioquia_field_trip_report.pdf

¹⁵ Radio Cadena Nacional, “Boyacá es el departamento con más fatalidades en minería,” Bogotá, November 21, 2015.

<https://www.rcnradio.com/locales/boyaca-departamento-mas-fatalidades-mineria>

¹⁶ Procuraduría General de la Nación. Minería Ilegal en Colombia. Informe Preventivo. 2011.

<http://www.procuraduria.gov.co/portal/media/file/MINERIA%20ILEGAL%20EN%20COLOMBIA%20%20DOCUMENTO.pdf>

¹⁷ Radio Macondo, “Masacre en Segovia, Antioquia por retaliaciones entre grupos paramilitares,” Bogotá, 27 February 2016. <http://radiomacondo.fm/2016/02/27/masacre-en-segovia-antioquia-por-retaliaciones-entre-paramilitares/>

II EVALUATION PURPOSE AND METHODOLOGY

2.1 EVALUATION PURPOSE

The mid-term evaluation sought to assess program design, review the ongoing progress made toward the achievement of project objectives and targets, identify ways to improve delivery and enhance coordination among key stakeholders, and identify promising practices and ways to promote their sustainability. Within this context, the evaluation Terms of Reference (TOR) contained a specific set of questions to guide the evaluation. These questions addressed key issues related to the project’s (1) relevance, (2) design and validity, (3) progress and effectiveness, (4) efficiency, (5) management, and (6) sustainability. The entire list of evaluation questions can be found in the Terms of Reference (TOR) in Annex A.

2.2 EVALUATOR

An external evaluator with a background in labor, education and public health conducted the interim evaluation. The evaluator has extensive experience conducting project evaluations for USDOL including two previous evaluations in Colombia on projects focusing on child labor and workers’ rights issues. The evaluator was responsible for developing the methodology in consultation with USDOL and Somos Tesoro project staff, conducting interviews and other data collection processes, analyzing the data, and preparing the evaluation report.

2.3 METHODOLOGY

The methodology used for the data collection was primarily qualitative in nature. Quantitative data were obtained from project documents and reports and incorporated into the analysis. Data collection methods and stakeholder perspectives were triangulated for many of the evaluation questions to bolster the credibility and validity of the results. A structured interview protocol was followed, with adjustments for each person’s background knowledge and level of involvement in project activities. The data collection process included a document review, development of data collection tools, field visits, stakeholder interviews, and the compilation of data into a matrix for final analysis.

Evaluation Schedule. The evaluation was conducted between February and March 2016. The evaluator contributed to the development of the TOR, reviewed project documents, and developed interview tools prior to carrying out fieldwork in Colombia. The fieldwork was conducted from February 15-26. The majority of the data analysis and writing of the report occurred from February 29-March 21. The complete schedule of evaluation activities appears in Annex B.

Data Collection. The evaluation questions developed by USDOL and Pact served as the basis for the guides and protocols used in the key informant interviews and document reviews. The master interview guide can be found in Annex C. Following is a description of the methods employed to gather primary and secondary data.

Document Reviews: The evaluator reviewed and referenced numerous project documents and other reference publications. These documents included the technical proposal, draft project document (February 2016), comprehensive monitoring and evaluation plan (CMEP), baseline study, technical progress reports, and other supporting project materials found on the Somos Tesoro website or obtained during the fieldwork component. Annex D shows a complete list of documents that were reviewed.

Key Informant Interviews: The evaluator conducted interviews with stakeholders in Medellín, Bogotá, and four of the municipalities in the gold-mining region of Northeast Antioquia: Segovia, Remedios, El Bagre and Zaragoza. The evaluator also visited all four municipalities in the coal-mining region of Boyacá: Tópaga, Mongua, Sogamoso, and Gámeza. In total, 114 stakeholders were interviewed individually or in small groups. These included Somos Tesoro project staff; local, regional and national government representatives; teachers; children and adolescents benefiting from educational services; adults benefiting from livelihood activities; and miners. Table 2 provides a summary of the stakeholder groups interviewed, sample size and their characteristics. A complete list of individuals interviewed appears in Annex E.

Table 2: Stakeholders, Sample Size and Sample Characteristics

Stakeholder Group	Sample Size (No. of persons interviewed)	Sample Characteristics
Somos Tesoro project staff	35	Somos Tesoro staff representing the four-party consortium: Pact, Alianza por la Minería Responsable, Fundación mi Sangre, and Fondo Acción.
Government of Colombia representatives	22	Government representatives at the municipal, regional and national levels
Teachers	17	Teachers trained in methodologies that are being implemented in formal and informal educational settings
Miners	14	Coal and gold miners benefitting from technical assistance during the formalization process, and/or occupational health and safety training
Child and adolescent beneficiaries	16	Children and adolescents benefitting from formal and informal educational interventions
Livelihood beneficiaries	6	Mining families participating in livelihood workshops
International officials and consultants	4	Pact Headquarter staff, US Embassy official, ILO-IPEC official in Colombia, International M&E consultant
TOTAL	114	

Observations: The evaluator conducted observations of 14 activities within each of the four project components and visited two gold mines in Antioquia and two coal mines in Boyacá. Table 3 displays a list of those activities observed and the corresponding project component.

Table 3: Observations of Somos Tesoro Activities

Project Component	Activity Observed
Education (non-formal)	Photography workshop with adolescents in Remedios, Antioquia
Mine formalization	Occupational health and safety training and direct observation of gold mining in Segovia, Antioquia
Mine formalization	Occupational health and safety training at gold mine in Remedios, Antioquia
Mine formalization	Occupational health and safety training and direct observation of coal mining in Gámeza, Boyacá
Education (formal)	Pazalobien activities at educational institution in Segovia, Antioquia
Education (formal)	Pazalobien activities at educational institution in El Bagre, Antioquia
Education (formal)	Pazalobien activities at educational institution in Zaragoza, Antioquia
Livelihood	Nutrition and gardening workshop (food security) for artisanal miners, Segovia, Antioquia
Livelihood	Budgeting and saving workshop for artisanal miners, Remedios, Antioquia
Livelihood	Employment skills workshop, Remedios, Antioquia
Non-formal education	Community outreach event, El Bagre, Antioquia
Non-formal education	Community outreach event, Zaragoza, Antioquia
Public Policy	Technical Annex validation workshop with adolescents, El Bagre, Antioquia
Public Policy	Technical Annex validation workshop with government officials, Tunja, Boyacá

Data Analysis. The document reviews and stakeholder interviews generated a substantial amount of raw qualitative data, which was then categorized, synthesized, and summarized. The data analysis process was driven by the TOR evaluation questions.

Debriefing. The evaluator conducted a debriefing meeting in Bogotá with project stakeholders on February 26, 2016 to present preliminary findings, solicit clarifications, and gather further input regarding project strategies to overcome identified challenges.

Limitations. All efforts were made to ensure that the evaluator visited all eight municipalities targeted by the project, observe activities within each of the components and interview a representative sample of project stakeholders. The findings for this evaluation are based on

information collected from background documents and interviews with stakeholders, project staff and beneficiaries. The accuracy and usefulness of these findings relies on the integrity and relevance of the information provided to the evaluator from these sources.

III FINDINGS

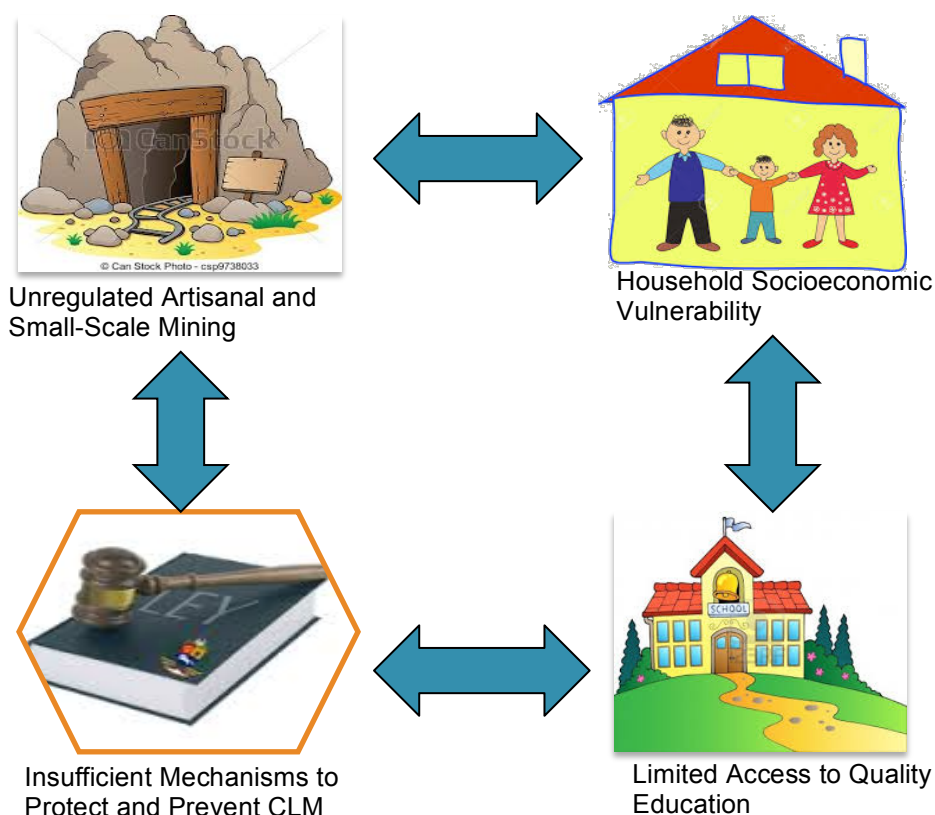
The following findings are based on fieldwork interviews with project stakeholders in Colombia, and a review of project documents and reports. The findings address the questions in the TOR (appearing in *italics*) and are organized according to the following evaluation areas: relevance, project design and validity, quantitative assessment of effectiveness, qualitative assessment of effectiveness, efficiency, project management, and sustainability.

3.1 RELEVANCE

How relevant are the components and integrated approach of the Project (ASM, livelihoods, public policies, education) to the ultimate goal of reducing child labor in mining in Colombia?

The approach that the project is implementing to prevent and reduce child labor in mining is based on the need to address the primary root causes of this activity. These root causes, as defined in the Somos Tesoro project document and depicted in Figure 2, include 1) the prevalence of unregulated artisanal and small-scale mining; 2) household poverty/socioeconomic vulnerability; 3) poor access to quality education; and 4) weak mechanisms to protect and prevent CLM.

Figure 1: Somos Tesoro Project's Integrated Approach to Address Root Causes of CLM



The project appropriately identified four main strategies to address each of the root causes of child labor in mining identified in Figure 1:

- (1) Support the process of **formalizing** the artisanal mining sector and applying occupational safety and health (OSH) standards. Safer, formalized mines do not encourage or use child labor.
- (2) Assist households within mining communities to **reduce socioeconomic vulnerability** that can lead to greater dependence on child labor.
- (3) Provide increased opportunities for access to **quality education** for children and adolescents who are at risk of or engaged in CLM.
- (4) Provide knowledge, training, political tools and spaces for dialogue to **strengthen institutional capacities** for the prevention and reduction of CLM as well as the formalization of artisanal and small-scale mining.

3.2 VALIDITY OF PROJECT DESIGN

This section assesses the validity of the project design/theory of change as it relates to the social, economic and political context in the intervention zones. It also assesses the consistency between the project’s theory of change and project results to date. The section ends with an analysis of the factors that could weaken the Theory of Change (TOC).

3.2.1 Project Design within the Social, Economic and Political Context

Is the design of the Project/Theory of Change sensitive to the social, economic and political context in the intervention zones?

The project’s Theory of Change is based on four primary factors/problems that were identified as contributing to child labor in mining: unregulated ASM, household socioeconomic vulnerability, limited access to quality education, and insufficient mechanisms to protect and prevent CLM. Each of these factors is further analyzed within the current social, economic and political context in the intervention zones.

Unregulated artisanal and small-scale mining: In 2014, the Ministry of Mines and Energy (MinMinas) adopted the National Policy for Mining Formalization in Colombia. This legislation requires artisanal and small-scale mines to first become legal entities before beginning the formalization process.¹⁸ The project’s Theory of Change hypothesizes that the formalization process ensures safer mines and a reduction in adult injuries and illnesses. This, in turn, decreases the need for children of these families to work to replace lost household income.

According to the Alliance for Responsible Mining (ARM), approximately 63% of the more than 6,000 ASMs are informal, lacking a legal mining concession or title. This informality leads to not only a lack of regulation, but it also prevents the ASM sector from delivering on important social objectives, such as generating formal employment and improving quality of life in mining

¹⁸ Ministry of Mines and Energy, “Mining Formalization Policy,” <https://www.minminas.gov.co/web/ingles/mining-formalization>

communities. ARM is supporting the formalization efforts of MinMinas by providing technical assistance to artisanal and small-scale mines that are legal and have the option to formalize. This, however, excludes mining units that have not completed the legalization process as well as subsistence miners such as gold panners (*barequeras*) and scrap miners (*chatarreras*). These informal subsistence miners are mostly women and the elderly. Thus the Theory of Change, which carries the formalization of mines as a key activity to reduce CLM, is weakened by the fact that large numbers of mines in the region are not amenable to formalization. At the same time, the project is considering working with subsistence miners in order to improve their production, introduce safer and more environmentally friendly techniques, and raise their awareness regarding the benefits of forming cooperatives or associations.

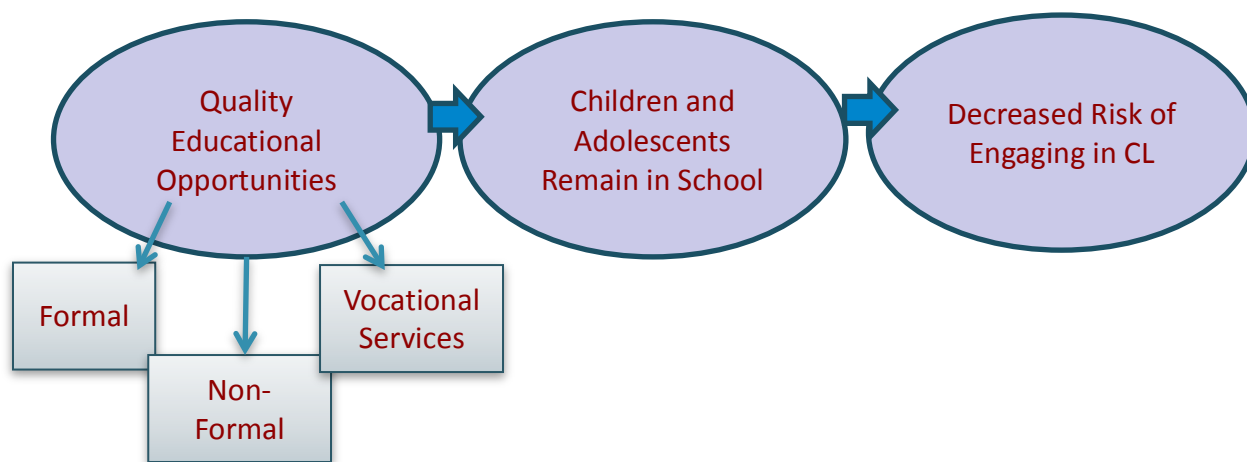
Household Socioeconomic Vulnerability to Child Labor in Mining Areas: The mining communities targeted by the project in Antioquia and Boyacá are among the poorest in Colombia. According to the results documented in the project’s baseline study, 90% of the households surveyed within the target municipalities are at the highest levels of poverty and vulnerability.¹⁹ This was determined by comparing survey results with official government statistics on household vulnerability that form part of Colombia’s Beneficiary Identification System (SISBEN). The SISBEN is used at the national level as a means to establish eligibility for social welfare programs. The SISBEN system rates household vulnerability from levels 1- 5, with levels 1 and 2 considered as extremely vulnerable, and level 3 as vulnerable. The project is supporting efforts to improve socioeconomic resilience of households through its livelihood services that target mining families. The Theory of Change rightfully seeks to increase assets in the most vulnerable households, and if the education and assistance efforts that are actually implemented for households are appropriate and effective, then this tenet of the TOC demonstrates adequate social, economic, and political sensitivity.

Limited Access to Quality Education: In March 2015, Colombian President Juan Manuel Santos convened top education officials and teachers for the “Day of Educational Excellence” to discuss the quality of public education in Colombia. Statistics presented at this forum indicated that the quality of education in the target regions was average, on a scale from 1 to 10.²⁰ The rating took into consideration academic achievement scores as well as a number of more holistic parameters such as students’ learning environments. The project supports the Ministry of Education’s efforts by offering quality educational opportunities to children and adolescents, which, in turn, contributes to less school drop-out and less risk of engaging in child labor (Figure 2). The support demonstrated by the Government of Colombia for enhancing the quality of education suggests that this objective in the TOC is adequately sensitive in the political and social context. However, a lack of sufficient government funding to provide the enhanced educational opportunities that are needed could render this activity less effective and weaken the TOC in this context.

¹⁹ Universidad de San Buenaventura, “Reporte de línea base sobre las características de los entornos familiares, educativos e institucionales de niños y niñas trabajadores en 8 municipios con actividad minera en Colombia,” December 2015 (draft report).

²⁰ Ministerio de Educación, Centro Virtual de Noticias de la Educación, 25 March 2015, <http://www.mineducacion.gov.co/cvn/1665/w3-article-350009.html>

Figure 2: Children who have greater educational opportunities remain in school and are less likely to engage in child labor



Insufficient Mechanisms to Protect and Prevent CLM: In September 2015, the Somos Tesoro project convened a governmental forum to discuss a national plan of action regarding child labor in mining. Participants included government officials at the national, departmental and municipal levels.²¹ The keynote speech from the Vice Minister of Labor highlighted the urgency to address child labor in mining with an integrated, multifaceted intervention approach focusing on strengthening public policy, enforcing existing child protection and OSH laws, improving the quality of education, and generating greater economic stability at the household level. To support these efforts, the Somos Tesoro project is facilitating a participatory process among governmental agencies at the national, departmental and municipal levels in the development of a special annex on child labor in mining as part of the upcoming National Strategy for the Prevention and Eradication of Child Labor (ENETI 2016-2026). Strengthening the capacity of government officials regarding child labor in mining is valuable and critical for the project’s eventual success. In addition, the project is promoting the inclusion of child labor issues in local development plans, which enables the allocation of municipal funds to social programs identified. The support demonstrated by the Colombian government to improve mechanisms for protection of children suggests that this objective in the TOC is appropriate in the social, economic and political context in the intervention zones.

3.2.2 Consistency of Results to Date with the Theory of Change

Are the results to date consistent with the Project’s Theory of Change?

The project’s Theory of Change is based on the premise described in the Comprehensive Monitoring and Evaluation Plan (CMEP): A reduction in child labor in mining will be achieved by successfully addressing four underlying factors driving child labor in mining—unregulated ASM,

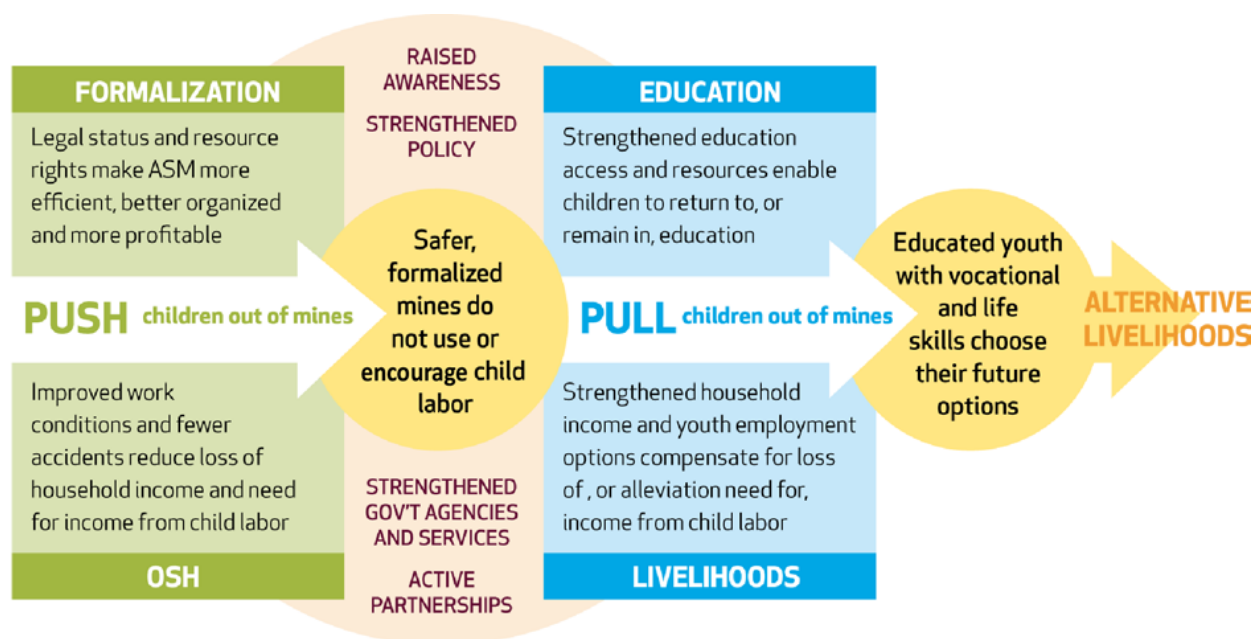
²¹ Ministry of Labor, “Acciones integrales, el camino para Acciones integrales, el camino para prevenir el trabajo infantil minero,” 15 September 2015. <http://www.mintrabajo.gov.co/septiembre-2015/4839-acciones-integrales-el-camino-para-prevenir-el-trabajo-infantil-minero.html>

household socioeconomic vulnerability, limited access to quality education and ineffective institutional capacity to address CLM. This will be achieved through an integrated implementation of the following intermediate objectives (IO):

- 1) ASM activity complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization;
- 2) Targeted households with reduced socioeconomic vulnerability have increased assets;
- 3) Targeted departments and municipalities have improved mechanisms for child protection and prevention of CLM;
- 4) Institutional capacity to contribute to the elimination of CLM is increased; and
- 5) Children and adolescents at risk of or engaged in CL have increased opportunities to access quality education.

The Somos Tesoro project organized the key objectives of its integrated approach around the pathways for change identified in the project’s Theory of Change (see Figure 3). This pathway focuses on “pushing” children out of the mining sector through a formalization process while “pulling” them through the education system and vocational training. The formalization process ensures safer mines and a reduction in adult injuries and illnesses. This, in turn, decreases the need for children of these families to work to replace lost household income. The improved quality of education increases the likelihood of children remaining in school. Meanwhile, the strengthened policies and capacities related to CLM at the national, departmental and municipal levels would serve to protect children and prevent CLM.

Figure 3: The project's TOC is based on an integrated approach that "pushes" children out of the mining sector and "pulls" them through the education system and vocational training²²



Results to Date: The project is currently supporting the **formalization process**, which is needed to trigger the “push-pull.” The **education strategies** have enhanced the quality of education in the targeted schools, but there is no evidence that this will increase the number of children remaining in school or returning to school. The **livelihood activities** have increased knowledge on strategies to strengthen household income and youth employment options, but the project has yet to implement pilot activities to demonstrate the effectiveness of these strategies. Project results will be discussed in greater detail in Section 3.3, Project Progress and Effectiveness.

3.2.3 Factors that Could Impact Theory of Change

Identify any unexpected challenges or factors that could impact the theory of change (in either a positive or negative way).

The project identified several **critical assumptions** in the project design about underlying conditions in the region and the country. If any of these conditions fail to be fulfilled, they could impede the achievement of project objectives. The critical assumptions about these conditions include the following:

- There is sufficient access to the municipalities targeted by illegal armed groups;
- Conditions in the field will remain safe enough to conduct project activities;

²² Source: Somos Tesoro Draft Project Document, February 2016

- There will be no changes in government laws or policies that adversely impact the project’s ability to work in activities related to child labor, particularly in mining;
- The children and adolescents in the targeted regions have safe access to schools and can attend when removed from CL.

According to project staff, **security issues** continue to be a strong concern in the region due to a growing presence of illegal armed groups in the target municipalities of Segovia and El Bagre in Northeast Antioquia. This has resulted in the project having to halt activities on two occasions for as long as one month. Another issue is that government policies only allow legal mining units to proceed with the formalization process. This eliminates the possibility of working with mining units that have not completed the legalization process, but may have a higher probability of having children engaged in mining-related activities.

Several other challenges have emerged in the **formalization process**, which could weaken the project’s Theory of Change. These include the following:

- The presence of armed groups, who may be using the mines for illicit activities, has resulted in some ASMs being afraid of the consequences of formalization.
- Artisanal and small-scale mines are often owned and operated by families who may have very little capital to invest in the necessary improvements required for formalization.
- ASMs may be resistant to change or even suspicious of the project’s intentions, thus electing not to participate.
- Project success depends on the multinational mining companies, in this case Gran Colombia Gold, to formalize the ASMs since the multinational company is the owner of the mining title. Therefore if the multinational company does not have a contract (or does not renew a contract) with the mining unit, then the project cannot support any activities toward formalization.

One critical assumption that was not identified at the project start is that **sufficient employment alternatives** exist in the targeted regions. The limited employment alternatives may have a negative impact on the TOC since job retraining and alternative employment are critical factors in reducing household socioeconomic vulnerability.

3.3 PROJECT PROGRESS

Is progress of strategies of each Project component (ASM, livelihoods, public policies, education) in line with designated targets? What barriers have affected the achievement of the Project objectives in each component?

This section assesses the progress in achieving the designated targets and the barriers that have affected progress of each project component: ASM, livelihood, public policy and education.

3.3.1 Progress of Somos Tesoro’s ASM Component

The project’s artisanal and small-scale mining component focuses on training, advising and supporting mining units in the process of mining formalization and health and safety requirements.

There are one outcome indicator (OTC) and one output indicator (OTP) pertaining to the intermediate objective (IO) measuring the percentage of targeted ASMs that implement OSH requirements and other aspects of formalization supported by the project. Table 4 shows target values and progress through the project’s mid-term (October 2015), as well as end-of-project targets.

Table 4: Progress of Artisanal and Small-Scale Mining Component²³

Indicator	Baseline	Cumulative Targets by Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets by Oct. 2017	% Progress in Meeting End-of-Project Targets
IO 1. ASM activity that complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization					
OTC 1. Percent of targeted artisanal and small-scale mining units that implement occupational health, mining safety requirements and other aspects of formalization supported by Somos Tesoro	0%	0%	0%	80% of 125 targeted mining units	0% ²⁴
OTP 1. Number of target artisanal and small-scale miners trained in occupational health, mining safety standards and other aspects of formalization supported by Somos Tesoro	0	300	750	1,000	75%

The outcome indicator (IO 1) measures implementation of occupational safety and health requirements that are verified through the inclusion of OSH in mining units’ workplans. The project is currently providing OSH training and technical assistance in the process of mine formalization with 72 mining units. The plan is to increase this to 125 mining units in northeast Antioquia and Boyacá. The ASMs in the “Bajo Cauca” region of Antioquia (El Bagre and Zaragoza municipalities) are not being targeted by the project. This is because the large-scale mining company, Mineros S.A., has not reached an agreement with the ASMs in the region regarding the terms of formalization.

The output indicator measures the number of artisanal and small-scale miners trained in OSH and other aspects of formalization supported by the project. As of mid-term, the project had trained 750 miners, which represents 75 percent of the total target number of 1,000 miners. Despite not including any ASMs in the Bajo Cauca region, the project fully anticipates achieving the target numbers.

²³ Source: Somos Tesoro Technical Progress Report, October 2015

²⁴ The project is not obligated to report any results until October 2016 since the actual integration and application of OSH cannot immediately be determined

3.3.2 Progress of Somos Tesoro’s Livelihood Component

The project’s livelihood component focuses on reducing the socioeconomic vulnerability of targeted households. There are eight indicators pertaining to the intermediate and immediate objectives. Three of these are USDOL common indicators (L1, L2 and L4), two are outcome indicators and two are output indicators. The results to date and target values can be found in Table 5.

Table 5: Progress of Livelihood Component²⁵

Indicator	Baseline	Cumulative Targets for Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets for Oct. 2017	% Progress in Meeting End-of-Project Targets
IO 2. Target households with reduced socioeconomic vulnerability					
L.1. # of households receiving livelihood services	0	1,450	1,344	9,783	13.7%
L.2. # of adults provided with employment services (by gender)	0	300	164	1,500	10.9%
L.4. # of individuals provided with economic strengthening services (by gender)	0	1,150	1,349	8,283	16.3%
OTC 2. % of target households with increased assets	0	5	0	25	0%
OTP 2. # of target households with at least one member who has completed job skills training	0	600	0	6,000	0%
OTC 3. % of target households in which at least one adult member is certified in a program that contributes to improving the protection and welfare of children and adolescents	0	1	0	15	0%
OTP 3. # of target households in which at least one adult member participates in activities/programs/networks for the protection of children and adolescents	0	700	39	3,000	1.3%

The livelihood results show adequate progress to date for L1 and L4, which are output indicators for the number of households and individuals participating in livelihood workshops. At the same

²⁵ Source: Somos Tesoro Technical Progress Report, October 2015

time, at mid-term, progress is only 13.7% and 16.3%, respectively, of the total target goals by October 2017. The number of adults provided with employment services, indicator L2, is a little more than half of the October 2015 target and only 11% of the target for October 2017. The two outcome indicators (OTC 2 and OTC 3) show no progress to date, which is not surprising since the outcomes are dependent on implementing services. Finally, little or no progress to date is indicated by the livelihood component’s two outputs indicators, OTP 2 and OTP 3. Particularly concerning are the target numbers pertaining to OTP 3, which are seriously deficient. The project’s delay in implementing livelihood activities, which technically did not begin until June 2015, will result in the implementation of the vast majority of these activities during the project’s final two years.

Reasons cited for the delayed implementation of livelihood activities: Project staff gave several reasons for the delays associated with the implementation of the livelihood activities. These include the following:

- **Delays in Hiring Livelihood Official and Field Facilitators:** The project’s original livelihood official resigned shortly after the project was awarded. The new livelihood official was not hired until May 2015—which is 20 months after the project start date. Furthermore, the project did not finish hiring the livelihood field facilitators until August 2015.
- The project’s livelihood activities were limited to the provision of services due to the necessity to conduct an analysis of viability with regard to the production services that the project could support.

3.3.3 Progress of Somos Tesoro’s Public Policy Component

This component contains two objectives—one that targets local governments with mechanisms for child protection and prevention of CLM, and one that focuses on institutional mechanisms that will contribute to the elimination of CLM. The indicators, target values and results to date can be found in Table 6.

Table 6: Progress of Public Policy Component²⁶

Indicator	Baseline	Cumulative Targets for Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets for Oct. 2017	% Progress in Meeting End-of-Project Targets
IO 3. Target departments and municipalities with mechanisms for child protection and prevention of CLM					
OTC 4. # of target municipalities that include specific agreements about CLM in their council agendas/development plans	TBD	0	0	6	0%
OTP 4. # of coordination bodies working with the project in the target territories	0	0	0	6	0%

²⁶ Source: Somos Tesoro Technical Progress Report, October 2015

Indicator	Baseline	Cumulative Targets for Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets for Oct. 2017	% Progress in Meeting End-of-Project Targets
that adopt and implement actions suggested in the Technical Annex about CLM.					
OTC 5. % of staff from participating institutions trained by the project with increased technical capacity and knowledge on CLM for coordination, reporting, preventing and addressing CLM	0	0	0	60%	0%
OTP 5. # of activities against CLM as a result of actions among agencies belonging to coordination bodies	0	0	0	6	0%
IO 4. Institutional mechanisms in place that contribute to the elimination of CLM					
OTC 6. % of labor inspection and mining safety inspection visits in two pilot municipalities targeted by the project that are carried out and monitored in accordance with OSH and mining safety standards and the elimination of CLM in Colombian law	0%	0%	0%	20%	0%
OTP 6. # of events in which the recommendations documented regarding policy, mechanisms for formalization, and the regulation of OSH and CLM are disseminated	TBD	1	0	2	0%
OTP 7. # of ASM tools on formalization, development and oversight that are delivered to mining and labor authorities MINMINAS, ANM and Ministry of Labor	0	2	0	4	0%
OTP 8. # of government officials from public bodies at the national and local levels trained in methodologies in OSH and the elimination of CLM	0	0	0	30	0%

The project’s public policy component, by nature, will complete most of its targets during the project’s last six months. For this reason, many of the cumulative targets and actual values in Oct. 2015 remained at zero. Outcome indicator 4 (OTC 4) is of special concern at the mid-term stage. The achievement of this objective is time-sensitive, as the municipal development plans for 2016-2020 must be completed by April 2016. If the project does not succeed in its efforts to lobby for the inclusion of CLM issues in these development plans, there will not be another opportunity until

2021. If they do succeed in their efforts, municipalities will be obligated to support efforts to reduce CLM. Six of the eight municipalities must include specific agreements about CLM in their development plans.

Fondo Acción is the implementing partner carrying out the greatest portion of activities related to the project’s public policy component. At the time of the mid-term evaluation, there was only one full-time staff person at Fondo Acción, and occasional consultants. Government stakeholders interviewed all agreed that this small team did a remarkable job in carrying out numerous public policy activities. They also agreed that additional staff is needed in the regions to provide consistent follow-up to public policy activities. The project is currently in the process of hiring two regional public policy coordinators.

The Alliance for Responsible Mining (ARM) is the carrying out the activities pertaining to the second public policy objective: Institutional mechanisms in place that contribute to the elimination of CLM. The Somos Tesoro project expects to achieve its target numbers during the project’s last trimester. There is no evidence indicating that this ambitious goal cannot be achieved.

3.3.4 Progress of Somos Tesoro’s Education Component

The project’s education component focuses on increased opportunities for children and adolescents to access quality education (formal, non-formal and vocational). This is measured by attendance (OTC 7), and USDOL’s common indicators—number of high-risk children who are provided formal, non-formal and vocational education services (E1-4). There are three other output indicators to measure education quality and one outcome indicator to measure drop-out rates. Table 7 contains the indicators, target values and results to date.

Table 7: Progress of Education Component²⁷

Indicator	Baseline	Cumulative Targets for Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets for Oct. 2017	% Progress in Meeting End-of-Project Targets
IO 5. Children and adolescents at risk of or engaged in CL with increased opportunities to access quality education					
OTC 7. % of target children that regularly attended any form of education during the past six (6) months, with 75% attendance in their education program over the six month reporting period	TBD	85	91.31	85	107.4%
E.1 # of children engaged in or at high risk of entering child labor who are provided education or vocational services	TBD	5,620	6,011	19,566	30.7%

²⁷ Source: Somos Tesoro Technical Progress Report, October 2015

Indicator	Baseline	Cumulative Targets for Oct. 2015	Actual as of Oct. 2015	End-of-Project Targets for Oct. 2017	% Progress in Meeting End-of-Project Targets
E.2 # of children engaged in or at high risk of entering child labor who are provided formal education services (by sex and age)	TBD	4,500	5,992	12,128	49.4%
E.3 # of children engaged in or at high risk of entering child labor who are provided non-formal education services (by sex and age)	TBD	120	23	400	5.6%
E.4 # of children engaged in or at high risk of entering child labor who are provided vocational services	TBD	1,000	0	7,038	0%
OTC 8. % of children and adolescent beneficiaries that drop out of the education system	TBD	0	0.6	TBD	NA
OTP 9. % of educational establishments whose staff is trained to use the Pazalobien methodology to protect the rights of children and adolescents	0	40	0 ²⁸	90	0%
OTP 10. % of out-of-school beneficiaries who are integrated into the school system	0	5	0	10	0%
OTP 11. # of educational establishments with improved equipment	0	3	0	20	0%

There are some positive results to date with regard to achieving designated targets for the education component. First, OTC 7, which achieved 107.4% of the October 2017 target, shows us that the project may be contributing to higher school attendance rates among children and adolescents, although there is no baseline data to confirm this inference. In addition, the project is appropriately targeting and providing services to children and adolescents who are engaging or who are at high risk of engaging in child labor (E.2), having reached nearly 50% of the target for October 2017. On the other end of the spectrum, four out of nine education component indicators had not made any progress as of October 2015 (E.4, OTP 9, OTP 10 and OTP 11).

²⁸ The figures presented in the table are based on the October 2015 TPR data. During the mid-term evaluation, Fundación Mi Sangre noted that 32 educational establishments had completed training on the Pazalobien methodology in 2015. They have since revised that number to 37 educational establishments.

3.3.5 Factors affecting project progress

There are several factors contributing to the project’s relatively slow progress to date. According to project staff the baseline fieldwork was delayed as part of the extended CMEP development process, which was completed in December 2014. The baseline survey fieldwork was scheduled for June 2014, but it was not completed until January 2015. A full rollout of project activities began shortly thereafter, in accordance with USDOL requirements. Project staff stated that the baseline fieldwork was developed based on the CMEP and thereby was impacted by the time it took to complete the CMEP. According to USDOL officials, however, the baseline survey and CMEP are two independent processes. Proper procedures for each of these were explained during the grantee orientation workshop and communicated to Pact headquarters staff. Furthermore, USDOL’s 2013 Management Procedures & Guidelines stipulates, “The Grantee is expected to begin a baseline survey within the first seven months of the award, and must conduct the survey prior to the start of project interventions.”²⁹

Another factor affecting project progress was the increased insecurity issues, especially among the target municipalities in Northeast Antioquia. During the latter half of 2015, the area experienced attacks on miners from the illegal armed groups known as Bacrim. These armed groups forced miners to pay extortion fees known as vacunas. The miners’ refusal to pay caused them to be attacked, and some were even murdered. The Bacrim have circulated threatening pamphlets to civil society groups resulting in the project having to halt activities for four weeks and thereby affecting project progress. These insecurity issues have most likely contributed to the resignation of several field facilitators of the Somos Tesoro project, further delaying implementation of project activities.

The high target numbers—9,783 households for the project’s livelihood services and 19,566 children and adolescents for educational services—made it difficult to make significant progress in these areas. The original Technical Proposal did not provide any target numbers; however, Pact was requested to and subsequently provided estimates of total beneficiaries (direct and indirect). These estimates were then incorporated in the award document as activity targets, but final targets would be established as part of the project’s baseline study. USDOL officials commented that PACT never distinguished how many beneficiaries were direct and how many were indirect. USDOL officials informed the evaluator that the established target numbers could be revised, although proposed revisions need to be reviewed and approved. This option surprised Somos Tesoro project staff who were under the impression that target numbers could not be adjusted.³⁰

Finally, the high level of staff turnover also played a part in the project’s slow progress, weak livelihood and education strategies, and quality of deliverables. The absence of an M&E official for nearly one year contributed to uncertainties regarding M&E procedures and the quality of deliverables. This included the ProDoc, baseline study tools and sampling methodology. In addition, the four project directors during the project’s first two years impacted forward momentum and the leadership needed to build a cohesive project team.

²⁹ USDOL, Management Procedures and Guidelines: Grant and Cooperative Agreements, 2013, p. 8.

³⁰ On May 18, 2016, USDOL approved Pact’s proposal to reduce the number of direct beneficiaries as follows: 13,000 children for education services and 3,500 households for livelihood services.

3.4 QUALITATIVE ASSESSMENT OF EFFECTIVENESS

How effective are the project’s interventions?

Section 3.3 offers a quantitative assessment of the project’s progress, which is one way to look at effectiveness. But effectiveness must also be measured qualitatively, to look at indications of effectiveness beyond what is shown by the numbers alone. The evaluation TOR has a number of questions regarding the effectiveness of the project’s interventions. The following discussion is a direct response to these questions.

3.4.1 Effectiveness in creating safe environments for children

How successful is the project’s strategy to create safe environments for children?

The creation of safe environments for children, or ‘child protection,’ involves preventing and responding to violence, exploitation and abuse against children – including child labor.³¹ All four of the project’s components have activities that promote child-protective environments, with the bulk of these residing in the public policy component. These activities are listed in Table 8.

Table 8: Project Activities that Promote Child-Protective Environments³²

Component	Key Activities
1) Formalization	<ul style="list-style-type: none"> • Develop training modules for miners on OSH. • Provide technical assistance and consultation visits to mining units. • Organize exchange visit for miners to learn about the successful elimination of child labor through ASM formalization.
2) Livelihood	<ul style="list-style-type: none"> • Promote child-protective environments through workshops and activities in mining communities. • Link subsistence-mining households with social protection and other services offered by municipal institutions.
3) Education	<ul style="list-style-type: none"> • Build capacity and transfer knowledge of Pazalobien methodology from Somos Tesoro to teachers. • Promote protective environments through “parent schools.” • Analyze the root causes of school drop-out and the activation of pathways for the reintegration of out-of-school children and adolescents in educational establishments.
4) Public Policy	<ul style="list-style-type: none"> • Produce and validate the “technical annex on child labor in mining” through workshops with the coordinating bodies and representatives of the mining communities. • Increase existing knowledge about child labor in mining through regional forums and discussion groups.

³¹ UNICEF, Child Protection Information Sheet: “What is Child Protection?” May 2006.

http://www.unicef.org/protection/files/What_is_Child_Protection.pdf

³² Source: Somos Tesoro Project Document, February 2016

Component	Key Activities
	<ul style="list-style-type: none"> • Identify and map the relationships of the institutions involved, through the project, in the prevention and reduction of child labor in mining. • Carry out pilot initiatives to implement the technical annex on child labor in mining. • Identify and map the relationships of the institutions involved in the prevention and reduction of child labor in mining. • Raise awareness about child labor in mining through working events with the national government. • Develop a training program to strengthen the coordination capacity of municipal and departmental officials and the Colombian Institute of Family Wellbeing (ICBF) in reporting, prevention, and protection of children and adolescents involved in child labor in mining. • Convene and facilitate meetings to strengthen competencies of teams from the Office of the Inspector General in tracking and monitoring actions carried out by the departments and municipalities around child labor in mining. • Develop communication campaigns and establish alliances with the private sector and other key actors in order to prevent and report child labor in mining.

Source: Somos Tesoro Project Document, February 2016

The project is taking a comprehensive approach to promoting child-protective environments by integrating activities in all four project components. The formalization component has activities to raise the awareness of miners regarding the benefits of formalization and the resulting elimination of child labor. The exchange visit with miners in Peru will provide an innovative peer venue for discussing the successful elimination of child labor through formalization. Miners interviewed during the interim evaluation demonstrated a good understanding of the regulations that formal mines must follow, which serve to protect children from engaging in mining activities.

The project’s livelihood component promotes child-protective environments through workshops and activities in mining communities. These workshops have served to strengthen community networks so that they can form part of the protective environment for children and adolescents. Participants in these workshops stated that to truly protect children, more employment options must be available for adults. Through these workshops, the project staff is able to link subsistence-mining households with social protection and other services offered by public institutions.

The education component has implemented the Pazalobien methodology in educational institutions and “parent schools” as a means to promote protective environments for children. These activities are described in greater detail in Section 3.4.2. Other contributions to the promotion of protective environments will include an analysis of the root causes of school drop-out and mechanisms for the reintegration of out-of-school youth. However, to date, there has been no progress on this initiative.

The public policy component has contributed the most to creating safe environments for children through its advocacy efforts. The project has made significant progress in facilitating a participatory process in developing new regulations focusing on CLM, raising awareness of government stakeholders on the issue of CLM through national forums, and establishing appropriate mechanisms for reporting, preventing and protecting out-of-school youth who are

engaged in child labor. The biggest challenge facing the public policy component is the pressing time constraint to integrate the issue of CLM in municipal development plans. Achievement of its integration will allow municipalities to allocate resources for the prevention and reduction of CLM.

3.4.2 Effectiveness of the Pazalobien Methodology in Addressing Child Labor

How effective does the Pazalobien methodology appear to be in addressing child labor in areas of intervention? What factors may contribute to its success?

Curriculum Design: The Pazalobien methodology is based on the use of art and games to develop students’ perspective regarding their rights as individuals, as well as their peace-building skills, life skills, and as citizens in training. The project has adapted the Pazalobien methodology to fit within the framework of 16 one-hour sessions in formal classroom settings. In addition to the emphasis on peace-building skills and other important life skills, the curriculum has been enhanced to address child labor in mining issues.

Implementation: The Pazalobien methodology is implemented in educational institutions within the project’s eight target municipalities that are characterized as having a majority of households that are dependent on mining and a majority of households whose incomes are below the poverty level. The Pazalobien facilitators provide training to the regular classroom teachers on the methodology and curriculum content, and then co-teach the curriculum during the first year of implementation. Teachers are expected to continue implementing the curriculum on their own in subsequent years. As of October 2015, the project had implemented the Pazalobien program in 32 educational establishments, reaching a total of 5,992 children and adolescents.

Field Observations: The evaluator had the opportunity to observe three different Pazalobien classroom sessions and interview veteran teachers who were implementing the curriculum. Students were engaged and interested in all three classrooms visited. During one particular observation, through a skit, students demonstrated both knowledge and problem-solving skills on issues related to child labor in mining. During the other two classroom observations, students were given the opportunity to use decision-making skills that could then be applied to most situations involving violence or exploitation of children working in mining.

Impact on Teachers: Teachers interviewed stated that the curriculum helps fulfill the mandatory civic education requirements, which is a key factor in the program’s potential sustainability. Teachers expressed that the curriculum was particularly relevant to the Colombian context by emphasizing students’ peace-building and life skills and raising their awareness regarding their individual rights. All 13 of the teachers stated that the Pazalobien methodology has “transformed” their teaching as a result of applying the methodology to other aspects of the school curriculum. They described the methodology as dynamic, participatory, and student-centered. One teacher commented, “The facilitators’ enthusiasm is contagious. They taught us that learning could be fun.” The only improvement suggested by teachers was to put more emphasis on the parallel parent education activities.

Pazalobien Parent Education: The Pazalobien methodology is also designed to work with relevant adults to raise their awareness on social issues affecting children, including child labor in mining,

and to help create protective environments for children and adolescents. Pazalobien facilitators are in the process of transferring the methodology to parent leaders to better ensure the sustainability of the parent education program. Parent participation rates initially started out low, but by October 2015, the project had cumulative totals of over 700 parent participants. One reason cited for the improved attendance rates was the addition of more relevant topics such as parenting skills, domestic violence, safe environments and family economy. (Note: The education component does not have target numbers for parents participating in parent education activities).

3.4.3 Incorporation of Child Labor in Formalization and Livelihood Strategies

How do the mine formalization and livelihood strategy incorporate child labor?

Incorporation of CL in Formalization Strategy: The project’s ASM formalization component focuses on training, advising and supporting mining units in the process of mining formalization and health and safety requirements. Mines that are in the process of formalization must comply with all mining regulations, which include the prohibition of child labor. The weekly OSH trainings that are given at the mining site and the consultation visits from project mine safety experts allow for further opportunities to discuss child labor issues. The evaluator was able to observe three OSH trainings at three different mines. During these trainings, there was no specific mention of child labor issues; however, during subsequent follow-up interviews with selected participants, all stated that the project had explained the importance of preventing children from working in mining. The gold miners interviewed stated that child labor continues to be a problem in subsistence mining activities such as gold panning and metal collecting. Coal miners interviewed stated that child labor is still common since many of the mining operations are family-run businesses.

The formalization component has several creative activities to raise awareness on child labor in mining. Among these are the exchange among miners who have completed the formalization process (mentioned in Section 3.4.1) and a contest among mining units on the most innovative steps taken to improve working conditions during the process of mine formalization. Both of these activities will be implemented in 2016.

Incorporation of CL in Livelihood Strategy: The project’s livelihood strategies to date have been in the form of workshops and activities designed to improve socioeconomic resilience. These workshops allow project staff to augment the activities targeted at improving socioeconomic well-being with topics regarding the hazards associated with child labor in mining, children’s rights and child protection services. Participants expressed commitment to applying the skills gained in the workshops, such as gardening skills and developing a family budget. Nevertheless, municipal and national government officials felt strongly that the project needed to implement pilot activities to demonstrate the effectiveness of alternative income-generation options that can decrease the need for supplemental income from child labor.

A representative of the Ministry of Mines and Energy stated that livelihood activities should include a well-planned strategy to improve the conditions of the informal subsistence mining sector. The representative stated, “The project should focus on skill-building and job retraining for the informal sector who do not have the conditions to formalize. This is the mining sector where there are the greatest number of child workers.” Project representatives are currently providing

workshops to individuals working in the informal subsistence mining sector. The project intends to target this sector for its pilot livelihood activities to demonstrate the effectiveness of alternative income-generation activities. One strategy that is being explored is to coordinate job retraining efforts and viable pilot projects with the Colombian National Training Service (SENA).

3.4.4 Effectiveness of Addressing Out-of-school Children

How effectively is the project addressing the situation of out-of-school children?

The project activities listed under the project’s education component include an analysis of the root causes of school drop-out and the activation of pathways for the reintegration of out-of-school children and adolescents in educational establishments. To date, the project has not begun the assessment of the root causes of school drop-out nor has it formally activated pathways for the reintegration of out-of-school children and adolescents in educational establishments. These activities will begin during the second half of 2016.

The project has made slow progress in meeting its targets for non-formal education and vocational education services, which are the two strategies with the greatest potential to reach out-of-school youth. To date, the project has only reached 23 youth in its non-formal education services (target is 400) and none for the vocational education services. The project has made advancements in the design of the vocational and non-formal education services targeting youth. The strategy involves the implementation of a 30-hour course that would serve as an introduction to vocational and non-formal education options. Nevertheless, at mid-term, the project had not yet made any advancement in implementing this strategy that aims to reach just over 7,000 youth. Project management stated that implementation of non-formal and vocational education activities will take place in 2016 and 2017, in accordance with the approved project workplan.

Representatives from three municipal governments’ Family Commissions, whose functions include the restitution of children’s rights, shared some disappointment with the project’s lack of progress in the reintegration of out-of-school youth in educational establishments. One family commissioner stated, “This is an ambitious project. I, along with others, had high expectations for what the project planned to achieve. But the project has not had the impact we hoped it would have.”

3.4.5 Effectiveness of Communications Strategy and Awareness-Raising Activities

Has the project’s communications strategy and awareness-raising activities been effective?

The Somos Tesoro project has developed a communications strategy targeting a wide array of audiences—from the local mining communities to government stakeholders at the municipal and national levels. The communications strategy identified four main objectives:

- 1) Raise awareness about child labor in mining in the country;
- 2) Acknowledge the value of artisanal and small-scale miners, their families and communities;
- 3) Identify Somos Tesoro as an effective strategy against child labor in mining; and

- 4) Improve comprehension within communities of the dynamics of child labor and the negative consequences of this practice.

To achieve the first three objectives, the project has utilized its website and social media networks (Facebook and Twitter) to disseminate information about the project objectives and progress, and raise awareness through the publication of articles, short documentaries and personal stories regarding CLM. The intended audiences for the website and social media venues are key national, departmental and municipal government stakeholders; and community stakeholders including project beneficiaries, educators and women’s groups. The project also has implemented at least three communications campaigns, such as the “Voices and Faces of Artisanal Mining,” to bolster the results of the communications strategy’s first three objectives.

The project’s website has succinct information regarding project objectives, strategies and each of the project partners. The website also offers a series of short research articles, documentaries and personal stories to better understand the complex social, political, economic and environmental issues facing artisanal and small-scale mining in Colombia, as well as issues specific to child labor in mining.

The strategies to achieve Objective 4 of the communications strategy have been integrated in all of the project components. This involves a “social change communication program” that engages community groups, particularly those that involved youth and women, in information-sharing activities and forums for reflection. The workshops carried out under the livelihood, education and public policy components have provided numerous opportunities for reflection and information-sharing.

Although the communications strategies are multi-dimensional and comprehensive, several municipal government representatives interviewed expressed an urgent need for the project to keep public officials better informed of project progress. One municipal official stated, “At the project start, we participated in a forum that explained what the project intends to do; we appreciate the personal stories and interesting articles on the website, but we want to know the results of project activities.” At least two other municipal government officials shared a similar experience about being adequately informed of project strategies when the project was launched, but they have heard very little about project progress or results to date.

3.4.6 Involvement of Key Stakeholders in Efforts against CLM

Has the project involved key stakeholders in its efforts against child labor in mining?

Coordinating Committee: In early 2014, USDOL helped establish a project working group on child labor in mining known as the “Coordinating Committee.” Committee members include representatives from all four Somos Tesoro consortium members, USDOL and six key Colombian government stakeholders including the Ministry of Labor, Ministry of Mines and Energy, Ministry of Education, Colombian Institute for Family Wellbeing (ICBF), Department of Social Prosperity and the National Agency of Mines. The purpose of this committee is to share information on project developments, discuss challenges, and help link Somos Tesoro’s activities to existing governmental programs.

Involvement of Government Agencies: The project has successfully coordinated with government agencies in each of the project components as follows:

- **Component 1 – Formalization:** The implementing partner, the Alliance for Responsible Mining (ARM), has worked closely with the Ministry of Mines and Energy (MinMinas) in its efforts to assist mining units with the process of formalization. A representative from MinMinas stated that the project’s assistance to mining units directly contributes to the Colombian government’s mine formalization goals.
- **Component 2 – Livelihood:** Project staff implementing the Livelihood component has coordinated with the ICBF in Boyacá to provide livelihood workshops to vulnerable adult populations that are receiving services from ICBF. In the smaller targeted municipalities, the Family Commissioners were disappointed that the project had not established a direct referral system so that families receiving services from ICBF could also benefit from project services and training. Somos Tesoro project management clarified the scope of the project’s implementation strategies stating, “Project strategies are designed to be implemented at the community level, in accordance with the community selection criteria outlined in the CMEP. We simply do not have the capacity to provide personalized services for families who receive services from ICBF.”
- **Component 3 – Formal Education:** The Colombian Ministry of Education supports the project’s implementation of the Pazalobien methodology, and has formally endorsed the activities. The project gains access to the targeted schools by working directly with the principals (rectores). Project staff explained that in Colombia, the school principal has some autonomy regarding the curriculum content, as long as the content helps meet the curriculum requirements. Ideally, the Ministry of Education will issue formal recognition of the Pazalobien methodology’s contribution to the national civic education requirements. The evaluator was not able to interview Ministry of Education officials to confirm the extent of their support of project activities due to scheduling conflicts.
- **Component 4 – Public Policy:** Project staff has done a remarkable job of involving government officials from national, departmental and municipal levels in the process of drafting the Technical Annex on CLM, which will be part of the new National Strategy for the Eradication of Child Labor (ENETI). The project’s public policy efforts have also helped identify and map the relationships between the institutions involved in the prevention and reduction of child labor in mining.

Involvement of Private Sector: A memorandum of understanding (MOU) was signed between Somos Tesoro and a large-scale mining company operating in northeast Antioquia, Gran Colombia Gold. The MOU clarified how the project and Gran Colombia would coordinate activities in support of ASM formalization. The project has so far been unsuccessful in achieving this same level of cooperation with Mineros, S.A., which is the large-scale mining company operating in the municipalities of El Bagre and Zaragoza (known as the Bajo Cauca region of Antioquia). For this reason, the project has not been able to include any formalization activities in the Bajo Cauca region.

3.5 EFFICIENCY

Are project activities efficient in terms of financial and human resources in relation to their outputs and outcomes?

The assessment of the project’s efficiency includes an analysis of the project’s output-based budget and project expenditure rates. This analysis was based on information provided to the evaluator by the Somos Tesoro project management staff, and did not include a comprehensive assessment of the project’s financial records.

3.5.1 Allocation of Resources

Table 9 provides a breakdown of the project’s budget allocations for personnel, operating expenses and activities associated with each intermediate objective (IO) and monitoring and evaluation (M&E). Personnel and operating costs together account for 63.7 percent of the total project budget, while 29.1 percent of the budget is associated with conducting output-based activities under the five intermediate objectives (IO 1 – IO 5). The project’s M&E activities account for 7.1 percent of the budget.

Table 9: Somos Tesoro Project Budget Allocations³³

Item	Amount (USD)	% Total Budget
Direct Labor Costs	3,427,480	38.1
Operating Costs	2,306,469	25.6
IO 1 – Formalization	517,029	5.7
IO 2 – Livelihood	877,218	9.7
IO 3 – Public Policy	568,445	6.3
IO 4 – Public Policy	109,500	1.2
IO 5 – Education	555,434	6.2
M&E	638,425	7.1
Total	9,000,000	100

In comparison to several other USDOL-funded child labor projects evaluated in the past seven years,³⁴ the amounts allocated to direct labor and operating costs are within the same ranges as those of other similar projects. The output-based activities add up to 29 percent of the budget, which is a reasonable proportion of total expenditures.

³³ Source: Somos Tesoro, February 2016

³⁴ The evaluator has conducted mid-term or final evaluations of eight USDOL-funded child labor elimination projects in Colombia (2009), Central America Region (2009), Nicaragua (2011), Bolivia (2013 and 2014), Peru (2014 and 2015), and Ecuador/Panama (2015).

3.5.2 Expenditure Rate

Table 10 shows total project expenditures as of October 2015, which is the halfway point of the total life of the project.

Table 10: Somos Tesoro Project Expenditures as of October 2015 by Budget Line Item³⁵

Item	Budgeted (USD)	Expensed (as of Oct. 2015)	Expended (%)
Direct Labor Costs	3,427,480	1,465,034	42.7
Operating Costs	2,306,469	786,618	34.1
IO 1 – Formalization	517,029	110,290	21.3
IO 2 – Livelihood	877,218	50,689	5.8
IO 3 – Public Policy	568,445	40,088	7.1
IO 4 – Public Policy	109,500	11,946	10.9
IO 5 – Education	555,434	63,094	11.3
M&E	638,425	229,407	35.9
Total	9,000,000	2,760,164	30.8

By October 2015, the project had only spent 30.8 percent of its budget, which meant that 69.2 percent of the total resources were available to carry out activities during the project’s second half, or final two years. Some of the reasons given for the underspending during the first two years included salary savings due to prolonged vacancies in key personnel positions, and savings related to activities that did not get started until the project’s second year. More recent data on project expenditures, provided by the project financial officer as of February 2016, indicated that total expenditures had reached US \$3,445,755, or 38.3 percent of total project budget. This left **61.7 percent** of the total budget available to carry out activities during the project’s final 19 months, or **39.6 percent** of its timeline. This underspending to date is partially due to the devaluation of the Colombian peso. The grantee estimates that there has been over US\$750,000 in cost savings to date due to this devaluation, which is almost nine percent of the total budget.

3.5.3 Impressions of Efficiency

Staff turnover: Colombian government officials who were most familiar with the project were asked to share their impressions of efficiency. The one recurring comment given referred to the high turnover of key staff. This was a major concern of USDOL, as noted in the donor feedback given in the April 2014 Technical Progress Report (TPR). Even though staff turnover does not necessarily affect the financial resources, it does affect the time efficiency since there is always a learning curve to any new position. The absence of an M&E official and livelihoods and education official for nearly one year and the four-time turnover of the project director in the first two years affected project performance and the timely delivery of quality products.

³⁵ Source: Somos Tesoro, October 2015

Delays in delivery and approval of key deliverables: According to USDOL’s 2013 MPG, grantees must complete four key deliverables within the project’s first 12 months (ending September 30, 2014): the project document (ProDoc),³⁶ baseline study, direct beneficiary monitoring system (DBMS) and CMEP. However, none of these key documents and/or systems was completed within this timeframe. The CMEP was provisionally approved in December 2014, the ProDoc in February 2016, and the baseline study report and the project’s DBMS sampling strategy had still not been approved as of February 2016. Moreover, the delays in delivering and gaining approval of some of these project documents led to delays in implementing project activities. The delays left the impression among local government stakeholders that the small Medellín-based project staff was getting paid, yet they were producing very little results with beneficiaries without a field presence and activities.

In contrast, USDOL officials attributed the project’s late start to staff turnover, weak M&E capacity, and inadequate technical support from Pact headquarters during the development of key project documents. For example, due to significant differences between the original technical proposal and the revised ProDoc, USDOL requested that Pact headquarter staff make a number of changes, which they submitted in November 2015. The project’s budget, however, was not aligned with this newest ProDoc; therefore, both the ProDoc and budget had to undergo further changes. Pact completed the final version of the ProDoc in February 2016, with approximately 19 months left in the life of the project. Similar delays due to inadequate technical quality by the consulting firm affected the completion of the project’s baseline study.

Time: Project staff mentioned that activities related to public policy require a sufficient amount of time to facilitate a participatory process and ensure the necessary buy-in from stakeholders. The formalization process also requires time to gain the trust of the mining unit, develop a formalization plan, and then allow sufficient time for the mining unit to implement this plan.

3.6 PROJECT MONITORING AND MANAGEMENT

The evaluation Terms of Reference contained several questions related to project monitoring and management. These included an assessment of the CMEP tools, the data collection system, and the usefulness of the data collected, as well as questions about project management challenges that surfaced during the first half of the project’s timeline.

3.6.1 Comprehensive Monitoring and Evaluation Plan

Are the CMEP tools useful and appropriate for the project implementation and project management?

Description of CMEP: The project’s Comprehensive Monitoring and Evaluation Plan (CMEP) was established in accordance with USDOL’s 2013 Management Procedures and Guidelines (MPG).³⁷ The CMEP is “comprehensive” in nature because it contains seven components: (1) the project theory of change, (2) key activities by outcome, (3) performance monitoring plan, (4) data collection table, (5) data quality assessment checklist, (6) overall plan for project evaluation, and

³⁶ The project document was officially approved by USDOL on May 19, 2016.

³⁷ USDOL, Management Procedures and Guidelines: Grant and Cooperative Agreements, 2013.

(7) internal project guidelines. Together, these components guide the process of monitoring, evaluating and reporting on project progress toward achieving intended results and outcomes.

Usefulness of the CMEP tools: The project management and monitoring teams all agreed on the necessity of a comprehensive monitoring and evaluation plan that clearly defines the project’s implementation plan and the creation of tools to monitor its progress. The M&E officer, who was not part of the project team during the development of the CMEP, stated when he joined the project in mid-2015 that he had never seen such a thorough monitoring and evaluation plan. He was pleased to see the seriousness of project monitoring when, in his experience, so many other development projects considered these issues only as an afterthought. At the same time, he noted that the resulting CMEP document was overly complex, which limited its usefulness as a guiding document. To address the complexity of the CMEP document, the M&E team developed a separate document titled “*CMEP for Everyone*,” which simplified the CMEP contents and increased the accessibility for all project team members.

The project M&E team stated that the data collection tools should have been pilot-tested before finalizing the CMEP document, but there was no time allotted for pilot testing. USDOL representatives stated that they encourage pilot testing but that this is the responsibility of the project. Furthermore they clarified that projects have the option to develop their own data collection tools. The project’s main data collection tool, the “*ficha reloj*” (activity recall tool used to determine a child’s work status), was adapted from another USDOL-funded child labor project in Peru. That project, however, had significantly less beneficiaries. Somos Tesoro staff stated that using this tool was taking approximately 40-50 minutes per household, rendering it impractical to implement with the 9,783 households and 19,566 child and adolescent beneficiaries. As a result, the tool had to be adapted in order to shorten the intake process.

3.6.2 Data Collection

How is the project tracking service provision, the work status of child beneficiaries, and the economic status of beneficiary households?

Project services are provided to selected households and children based on the selection criteria outlined in the CMEP and described in the Project Document. The following discussion analyzes the selection of household and child and adolescent beneficiaries.

Selection of Household Beneficiaries: Household beneficiaries are selected from among the project’s target communities/municipalities that have been identified as economically dependent on the mining sector or associated peripheral activities, among other characteristics. Household eligibility, therefore, is based on residence within the selected community, which, in turn, is based on the criteria outlined in the CMEP. The final selection of household beneficiaries is based on socioeconomic vulnerability, which is determined through a national beneficiary identification system known as SISBEN.³⁸ This system assigns a rating of a household’s socioeconomic vulnerability from 0 to 100, in which the lower the rating, the more vulnerable the family. Households identified in the SISBEN system as living below the poverty level may be selected as project beneficiaries. Once the pool of economically vulnerable households is selected,

³⁸ SISBEN website: <https://www.sisben.gov.co/Inicio.aspx>

the project narrows down the potential household beneficiaries by selecting those with children who are engaged in CLM and those with children who are at high risk of entering child labor.

The project M&E team also has the option of using two other government databases to verify potential beneficiaries’ identity, level of socioeconomic vulnerability, and type of social protection services they are receiving. These databases are the following:

- The Colombian System of Affiliation of Social Protection Services (Spanish acronym, *RUAF*)³⁹
- The Colombian Inspector General’s Office National Database.⁴⁰

During the evaluation fieldwork, the evaluator requested to see how a selected household’s socioeconomic vulnerability is verified through the SISBEN system. The M&E officer pulled a sample of project household beneficiaries and entered their national identifications into the SISBEN system.⁴¹ The SISBEN system immediately showed the level of vulnerability assigned to the household. The results of this demonstration showed households with SISBEN rating that ranged from 2 to 40. The rating system considers any score below 40 as extreme poverty.

Selection of Child and Adolescent Beneficiaries: Children and adolescents are selected from the schools that are utilizing the Pazalobien methodology. These schools are all located within the targeted municipalities that met the “community selection criteria” outlined in the CMEP. The project did not develop specific selection criteria for individual children. Instead, child beneficiaries were chosen based on the general school selection criteria. Selected schools, in turn, are all located in communities that meet the community selection criteria. Therefore, it is assumed that all of the children in the selected educational institutions are at risk of child labor. The actual classrooms are selected based on the recommendations of school principals as well as the willingness of the teachers. Finally, all of the children in the classroom selected *may* be considered beneficiaries, but children are counted as beneficiaries only if they attend at least 75 percent of the 16 Pazalobien sessions, or a total of 12 sessions.

Data Collection Methodology: Project staff collects data on selected households using the data collection tools/forms developed through the CMEP process. The complete intake form is implemented only with selected households and not with each child participating in the Pazalobien method. The data are collected on hard copies of these forms and then entered into an electronic data collection system, known as “Magpi,” which has been downloaded onto electronic tablets that are given to each project field facilitator. The information collected is then sent to the project’s M&E team, who verifies the particular household’s socioeconomic vulnerability by comparing the data collected with three other government databases that collect similar socioeconomic

³⁹ Verification of socioeconomic vulnerability through RUAF website:

<http://ruafsvr2.sispro.gov.co/RUAF/Cliente/WebPublico/Consultas/D04AfiliacionesPersonaRUAF.aspx>

⁴⁰ Verification of socioeconomic vulnerability through Attorney General’s website:

<http://siri.procuraduria.gov.co:8086/CertWEB/Certificado.aspx?tpo=1>

⁴¹ Verification of socioeconomic vulnerability through SISBEN website:

https://wssisbenconsulta.sisben.gov.co/DNP_SisbenConsulta/DNP_SISBEN_Consulta.aspx

information. Once the information is verified, the M&E team enters the data into the project’s electronic database for analysis.⁴²

Tracking Child Beneficiaries: To track the work and education status of child and adolescent beneficiaries, the project has proposed the use of a random proportional stratified sample of education beneficiaries every six months. The children and adolescents within this sample would complete the “*ficha reloj*” (activity recall tool) to document the number of hours a child spends doing daily activities—going to school, doing homework, resting, playing, doing household chores, taking care of personal hygiene, eating and sleeping—in order to determine their work and education status. The M&E staff trained project field facilitators on probing techniques in order to obtain the most accurate activity recall information. The *ficha reloj* tool is re-administered every six months to determine the percentage of children and adolescents that are working. According to USDOL M&E policies, the proposed sampling methodology would be a notable exception to conducting a census. The project had previously submitted two other sampling proposals, but they were not approved because they were not considered to be sufficiently rigorous. At the time of the mid-term evaluation, USDOL officials were in the process of analyzing the project’s third sampling proposal, and barring a few minor changes this proposal would likely be approved.

Tracking Household Beneficiaries: To track the economic status of households (OTC 2), the project had planned on only using the poverty measurement tool known as PPI (Progress out of Poverty Index). This index, however, includes tangible assets only. Therefore, the project created an additional tool to measure intangible assets.

3.6.3 Usefulness and Accessibility of Data Collected

How is data being used to assist in project implementation?

According to the project M&E staff, data analysis meetings are held monthly and consist of the M&E team and the technical coordinators of each implementing partner. The M&E team is responsible for presenting descriptive statistics to facilitate the analysis process. The data analyses are then used for decision-making processes regarding project implementation and sustainability.

3.6.4 Project Implementation Challenges

What have been the major management/implementation challenges encountered by PACT, project staff, and implementing organizations in the first half of the project?

Project management staff and partners mentioned two main management/implementation challenges during the project’s first two years: implementing the project strategies in an integrated manner and completing a satisfactory CMEP. Several other challenges came to light, however, including weaknesses in the implementation strategies, discrepancies in the total number of direct beneficiaries, staff turnover, and coordination among the four partners. These challenges are discussed in greater detail below.

⁴² Somos Tesoro electronic database: <http://107.170.134.70/proyectos/STAPP/demo1.1.1/code/indicadores.php>

Implementing an Integrated Design: The multi-dimensional project strategies were intended to work together in an integrated manner to achieve the goal of reducing child labor in mining (see Section 3.1, Relevance). Despite the well-intentioned and relevant project design as well as a structure for regular meetings among partner organizations, the majority of project field facilitators agreed that the project has been operating in a disjointed manner. One project representative stated, *“We often do not know what the other partners are doing, or when they will be carrying out their activities.”* Two national government stakeholders also commented on the weakness of the project’s integrated approach. One key national government official commented, *“The perception is that the project is very fragmented...The entire consortium needs to come together in an articulated and coordinated manner.”*

Completing the CMEP: According to the timeline established in the 2013 MPG, the CMEP should be completed within nine months of the project award through a collaborative process involving the CMEP contractor, USDOL and the grantee. In the case of the Somos Tesoro project, the final CMEP document was provisionally approved in December 2014—fifteen months after notification of award. USDOL officials explained that while the contractor is ultimately responsible for the delivery of the final CMEP document, projects are always responsible for developing major portions of the CMEP. This process helps create project ownership of the final CMEP document. At the same time, USDOL cannot approve the CMEP document until it meets the required standards.

Project staff all agreed on the importance of participating in the development of the CMEP; however, they stated that the process was overly complex, inefficient and divisive. Pact documented the challenges encountered in the CMEP workshops in the October 2014 TPR stating, *“The lead consultant...is a brilliant M&E expert but did not have facilitation skills to lead the teams in the two CMEP workshops. The result was poor quality workshops, which led to delays in expected results.”*

The external M&E expert also documented the difficulties encountered during the two CMEP workshops, describing the workshop environment as *“tense.”* The M&E expert later commented that part of the problem was that the project lacked sufficient M&E capacity stating, *“I had no M&E counterpart to provide on-going technical assistance to project staff.”* The M&E expert expressed concern regarding the lack of meaningful livelihood and education strategies. This resulted in the diversion of valuable CMEP workshop time to help re-define the project’s livelihood and education strategies.

Discrepancies in Total Number of Direct Beneficiaries: Pact representatives clarified that the estimates of total beneficiaries in the award document included both direct and indirect beneficiaries. These estimated numbers were based on the number of households registered in the Colombian government’s poverty monitoring system. The final target numbers, as stated in the grantee’s written communications to the donor in August 2013, would be based on results from the project’s baseline study.⁴³

⁴³ Pact response to USDOL regarding SCA-13-06, Project to Reduce Child Labor in Colombia, August 2013.

Staff Turnover: USDOL representatives attributed many of the difficulties in better defining project strategies and the discrepancy between direct and indirect beneficiaries to the turnover of key project staff who are crucial in providing leadership and consistency throughout the project planning stages. This turnover included four project directors in two years, as well as two different M&E officials, and two education and livelihood officials. Furthermore, the project had difficulties replacing key personnel, resulting in extensive vacancies for both the livelihood and M&E positions of up to one year. Donor representatives noted that even the Pact headquarter office experienced turnover or reassignments, which further weakened the project development processes.

Coordination among Project Partners: The project partners described what they perceived as “extraordinary pressure” to reach the required number of beneficiaries. According to project partners, this led them to work in isolation and even compete for beneficiaries in order to meet the mandates. Project staff held a workshop in May 2015 in order to re-focus on the project’s larger goal and objectives, and enhance collaboration and coordination among partners.

3.7 SUSTAINABILITY

What strategies/activities are most likely to be sustainable and transferable to local institutions (government/communities)? What additional efforts/actions should be taken in order to promote the sustainability of each component of the Project?

The following discussion analyzes the strategies that are most likely to be sustainable (sustainability elements), status of these sustainability elements, and actions that should be taken in order to further strengthen the sustainability elements for each project component.

3.7.1 Sustainability Elements – Formalization Component

The project’s formalization component focuses on providing OSH technical assistance and capacity development to artisanal and small-scale mines (ASM) during the formalization process. Formalization of ASMs, in turn, would reduce risks that lead to injuries and illnesses and thereby decrease the need for child labor in mining. Table 11 lists the sustainability elements identified for the formalization component, the status of these elements, and further action required to reinforce their sustainability.

Table 11: Progress in Achieving Sustainability Elements – Formalization Component⁴⁴

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
<ul style="list-style-type: none"> Analysis of each ASM unit to ensure the viability of formalization 	<ul style="list-style-type: none"> Viability analyses were conducted of ASM units that are linked to the project 	<ul style="list-style-type: none"> Raise awareness of government agencies regarding the difficulties faced by ASMs during the formalization process; advocate for increased access to formalization for ASMs

⁴⁴ Source: Somos Tesoro Project Document, updated February 2016

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
<ul style="list-style-type: none"> Signed agreement from each ASM committing to the formalization process 	<ul style="list-style-type: none"> All mining units targeted by project signed commitment to formalization process 	
<ul style="list-style-type: none"> Clarify procedures involved in formalization for ASMs 	<ul style="list-style-type: none"> Mine formalization procedures are clearly explained in pending “formalization kit” 	<ul style="list-style-type: none"> Complete the development of a formalization kit for ASMs that serves as a reference guide during the formalization process
<ul style="list-style-type: none"> Multinational mining companies in target areas—Gran Colombia Gold and Mineros SA—support formalization of ASMs 	<ul style="list-style-type: none"> Support from multinational mining company Gran Colombia Gold secured; support from Mineros SA pending 	<ul style="list-style-type: none"> Continue promoting dialogue with Mineros SA so that it supports the goals of formalization and commits to supporting ASMs during this process
<ul style="list-style-type: none"> Innovation fund to support process of formalization for ASMs 	<ul style="list-style-type: none"> Innovation fund design and implementation pending 	<ul style="list-style-type: none"> Complete the design of innovation fund and contest to support ASMs formalization activities

Discussion Regarding Sustainability of Formalization Strategies: The project has identified concrete sustainability elements of its formalization component. To begin the formalization process, the viability of each mining unit’s eligibility for formalization must be determined. Then each eligible mining unit signs an agreement committing to the rigorous formalization process. For many ASM miners, the new mining policy and formalization process is difficult to interpret, so the project is contributing to the creation of a “formalization kit” that will serve as a reference and guide. Finally, the support of the large-scale multinational mines is needed in order to proceed with formalization. The project plays an important advocacy role in pressuring the large-scale mines to support the formalization of ASMs.

3.7.2 Sustainability of Livelihood Component

The project’s livelihood strategies focus on decreasing household socioeconomic vulnerability. At mid-term, the project has built a foundation for assisting members of target households to improve financial management and small business development skills. These skills, however, have not been put to test with any kind of pilot production projects to demonstrate their effectiveness. Table 12 lists the sustainability elements identified for the livelihood component, the status of these elements, and further action required to reinforce their sustainability.

Table 12: Progress in Achieving Sustainability Elements – Livelihood Component

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
<ul style="list-style-type: none"> Improvement of financial management and small business development skills 	<ul style="list-style-type: none"> Financial management and small business skills training provided 	

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
- Viability analysis of small business/production initiatives	• Viability analysis of appropriate production initiatives pending	• Complete viability analysis that identifies appropriate production initiatives; present findings to members of targeted community to ensure buy-in of proposed initiatives
- Community buy-in/ownership of production initiatives	• Discussion held with SENA on possible collaboration on pilot production initiatives	• Coordinate efforts with SENA, Ministry of Labor and other short-term experts to follow-up and support pilot production initiatives
- On-going technical support of production initiatives during pilot phase	• Development of pilot initiatives pending	
- Dissemination of results of pilot initiatives		

Discussion Regarding Sustainability of Livelihood Strategies: At mid-term, the project had provided workshops to vulnerable adult populations on financial management and small business development. Discussions were held with SENA to explore the possibility of collaborating on pilot production initiatives, which could enhance the sustainability of these efforts. However SENA officials stated that the organization could only commit to training and that it would be the responsibility of the project to provide the necessary follow-up and support to the pilot initiatives. Even if the project finishes the viability analyses for each targeted municipality and manages to gain community buy-in on the proposed production initiatives, there will likely be less than one year remaining to implement the production initiatives and demonstrate their effectiveness. This short timeframe reduces the likelihood of the efforts being sustained over time.

3.7.3 Sustainability of Education Component

The project’s education strategies aim to decrease school drop-out by improving access to quality education. The project intends to provide formal, non-formal and vocational education services to 19,566 children and adolescents. Of these, 12,128 children and adolescents are enrolled in formal educational institutions, 400 in non-formal education programs, and 7,038 in vocational education training. Table 13 lists the sustainability elements identified for the education component, the status of these elements, and further action required to reinforce their sustainability.

Table 13: Progress in Achieving Sustainability Elements – Education Component

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
• Improved quality of education by implementing Pazalobien methodology	<ul style="list-style-type: none"> • Support for implementation of Pazalobien methodology secured in seven of eight targeted municipalities • Ministry of Education’s 	• Follow-up with Ministry of Education to obtain formal recognition of the Pazalobien methodology for its contribution to Civic Education requirements

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
	endorsement of Pazalobien methodology received	
<ul style="list-style-type: none"> • Certification of teachers as multipliers of Pazalobien methodology 	<ul style="list-style-type: none"> • Teachers trained as multipliers of the Pazalobien methodology • 	<ul style="list-style-type: none"> • Scale-up Pazalobien to include all teachers in the targeted educational institution
<ul style="list-style-type: none"> • Recreational initiatives promoted and supported by civil society organizations in target communities 	<ul style="list-style-type: none"> • Non-formal education initiatives for youth identified and supported at community level 	<ul style="list-style-type: none"> • Follow-up with Ministry of Culture and civil society organizations to gain their support and involvement in institutionalizing alternative educational opportunities
<ul style="list-style-type: none"> • Vocational education training for youth promoted and supported by existing professional training institutions and municipal governments 	<ul style="list-style-type: none"> • Youth vocational education training initiatives designed; support secured from SENA and municipal governments 	<ul style="list-style-type: none"> • Follow-up on formal agreement with SENA and municipal governments to establish their role in sustaining youth vocational education initiatives
<ul style="list-style-type: none"> • Root causes of school drop-out and effective responses for reintegration of out-of-school youth identified 	<ul style="list-style-type: none"> • Assessment of root causes of school drop-out and effective responses pending 	<ul style="list-style-type: none"> • Involve teachers and principals with assessment of the root causes of school drop-out and the appropriate responses for reintegration of out-of-school youth

Discussion Regarding Sustainability of Education Strategies: The project has identified sustainability strategies to improve the quality of education in formal educational institutions through the implementation of the Pazalobien methodology and the certification of teachers as multipliers of the methodology. The Ministry of Education has issued support of the Pazalobien methodology, but the extent of this support is not clear. Ideally, the Ministry of Education would recognize the curriculum’s contribution in fulfilling the national civic education requirements. Alignment with national curriculum requirements would greatly enhance the long-term sustainability of the Pazalobien methodology.

Of greatest concern is the sustainability of the project’s vocational education strategies for such a large number of beneficiaries. At the project mid-term, the project was completing the design of a 30-hour vocational education introductory course and securing partnerships with existing training institutions and municipal governments. Even with these advancements, the project has only 19 months to implement the vocational education services to over 7,000 students and provide the necessary follow-up. The provision of vocational services to this many students over such a short period of time may compromise both the quality and sustainability of this endeavor.

3.7.4 Sustainability of Public Policy Component

The project’s public policy component aims to improve institutional mechanisms at the local and national levels that protect and prevent children from engaging in CLM. Table 14 lists the sustainability elements identified for the public policy component, the status of these elements, and further action required to reinforce their sustainability.

Table 14: Progress in Achieving Sustainability Elements – Public Policy Component

Sustainability Elements	Status of Sustainability Elements (as of Feb. 2016)	Further Action Required to Reinforce Sustainability
<ul style="list-style-type: none"> Participation of key government stakeholders in developing technical annex on CLM that will form part of the National Strategy on the Eradication of Child Labor 	<ul style="list-style-type: none"> Participatory sessions related to the development of the technical annex conducted 	<ul style="list-style-type: none"> Conduct periodical coordination of meetings to ensure involvement of institutions
<ul style="list-style-type: none"> Implementation of pilot initiatives in each target municipality to demonstrate viability and effectiveness of strategies identified in the technical annex; adjustments made to technical annex following completion of pilots 	<ul style="list-style-type: none"> Pilot initiatives to demonstrate viability and effectiveness of technical annex pending 	<ul style="list-style-type: none"> Adapt technical annex based on results of pilot initiatives
<ul style="list-style-type: none"> Validation of technical annex on CLM through workshops with government stakeholders and representatives of mining communities 	<ul style="list-style-type: none"> Validation of technical annex pending 	<ul style="list-style-type: none"> Ensure that child labor issues are included in municipal development plans
<ul style="list-style-type: none"> Inclusion of child labor issues in municipal development plans (2016-2020) 	<ul style="list-style-type: none"> Inclusion of child labor issues in municipal development plans pending 	

Discussion Regarding Sustainability of Public Policy Strategies: The project is carrying out a strategic process for the development and validation of the technical annex on child labor in mining. The participation of government stakeholders has led to the buy-in of the draft technical annex. The commitment required of these same stakeholders in the pilot initiatives and the subsequent validation process further enhances stakeholder buy-in and the likely sustainability of these efforts to highlight child labor in mining within the National Strategy for the Eradication of Child Labor (2016-2026).

At the time of the mid-term evaluation, municipalities were in the process of finalizing their four-year development plans. The window of opportunity for the inclusion of child labor issues as part of the plans is very narrow, as municipal development plans for 2016-2020 must be completed by April 2016. The inclusion of CLM issues in municipal development plans, if successful, will obligate the municipalities to support efforts to reduce CLM. As a result, this will virtually ensure the sustainability of efforts to reduce CLM in these municipalities over the next four years.

IV CONCLUSIONS

Based on the specific findings outlined in Section III, the following conclusions can be made regarding the Somos Tesoro project’s relevance, progress, effectiveness, efficiency, project management and sustainability.

4.1 RELEVANCE

The project identified appropriate strategies to address root causes of child labor in mining which include: (1) the prevalence of unregulated artisanal and small-scale mining; (2) household poverty/socioeconomic vulnerability; (3) poor access to quality education; and (4) weak mechanisms to protect and prevent CLM. The project design appropriately recognizes the importance of implementing an integrated approach to generate the necessary synergies that can collectively reduce child labor in mining in Colombia.

4.2 VALIDITY OF PROJECT DESIGN

The project’s theory of change defines the necessary pathways for reducing child labor in mining in Colombia and appropriately calls for an integrated implementation approach. Several challenges have emerged that may negatively impact the theory of change, including the presence of armed groups in the targeted communities, the dependence on the will of multinational mining companies to support the process of formalization, the government policy that allows only legal mining units to proceed with formalization, and limited employment alternatives in the targeted communities.

4.3 PROJECT PROGRESS

Formalization: As of mid-term, the project was on track to achieve its targets for the formalization component, as measured by the percentage of ASMs that are in the process of completing formalization requirements and the number of ASM miners who have received OSH training.

Livelihood: The livelihood component was also making adequate progress in the numbers of households and individuals participating in workshops to reduce household socioeconomic vulnerability. But there are serious deficiencies in the numbers of households receiving job skills training and production initiatives that could help increase household assets. These deficiencies will result in an increased pressure to implement the vast majority of livelihood activities during the project’s final 19 months.

Education: The project’s formal education services are on track in terms of the number of beneficiaries of the Pazalobien methodology. However, the project has made little or no progress in meeting its targets for non-formal and vocational education services. This also will add to the pressure to implement most of the project activities during the final half of the project.

Public Policy: The project’s public policy component is on track to achieve most of its targets during the project’s final six months. However, achievement of the objective to integrate child

labor in the municipal development plans for 2016-2020 must be completed by April 2016, and will require immediate action by the project team.

The factors contributing to slow project progress stem from (1) differences in understanding between donor and grantee on the total number of direct beneficiaries⁴⁵ as well as the implementation timelines and procedures; (2) the unusually high turnover of key project personnel; (3) increased insecurity issues forcing the interruption of activities; (4) the lack of specific livelihood and education strategies;⁴⁶ and (5) the delays in finalizing monitoring and evaluation mechanisms including the CMEP, baseline survey and DBMS.⁴⁷ Furthermore, the high staff turnover affected the ability of the project to develop concrete implementation strategies for the livelihood and education components and meet deadlines with quality deliverables that USDOL could approve.

4.4 QUALITATIVE ASSESSMENT OF EFFECTIVENESS

Child-protective Environments: The project has successfully promoted child-protective environments through formalization activities that will decrease CLM and through livelihood activities that can decrease the socioeconomic vulnerability of families. However, the latter will have limited impact on preventing CLM until additional employment options are available for adults. The project’s public policy component successfully led a participatory process in developing and advocating for policies that prevent CLM and in establishing mechanisms for reporting, preventing and protecting out-of-school youth who are engaged in CLM.

Pazalobien Methodology: The implementation of the Pazalobien methodology has integrated issues of CLM into the curriculum contents. The process of transferring the methodology to teachers has resulted in improved quality of education by introducing dynamic, participatory and student-centered teaching methods, which, in turn, are applied to other areas of the educational curriculum.

Formalization and Livelihood Strategies: The project’s formalization component is filling an important gap in OSH training for miners and is raising their awareness of the health and safety hazards faced by children in mining. The livelihood strategies are likely to reach households that are part of the subsistence-mining sector, where the greatest number of children working in mining-related activities may be found.

Addressing Out-of-School Children: A major concern is the slow progress in developing and implementing non-formal and vocational education services, which are the two strategies with the greatest potential to reach out-of-school youth. The project will have to make a concerted effort during the second half of the project to address this particular target sector.

⁴⁵ In May 2016, USDOL and Pact met and established the following targets for direct beneficiaries: 13,000 children for education services and 3,500 households for livelihood services.

⁴⁶ The project is currently developing strategies to intensify education and livelihood services for the reduced number of direct beneficiaries.

⁴⁷ The project’s direct beneficiary monitoring system (DBMS) has now been finalized and is pending USDOL approval.

Communications Strategy: The project has developed a multi-dimensional and comprehensive communications strategy targeting a wide array of audiences, using social media networks and its website to disseminate information about project objectives and issues regarding CLM. At the same time, there is a need for a more basic communications venue or meetings with municipal government stakeholders that clearly discusses the project’s progress toward achieving its objectives.

Involvement of Key Stakeholders: Each of the project components has successfully coordinated with key government counterparts: formalization component with MinMinas; livelihood with ICBF; education with the Ministry of Education; public policy with government officials from national, departmental and municipal levels. In addition, the project has established a cross-cutting Coordinating Committee to share information on project developments, discuss challenges, and help link Somos Tesoro’s activities to existing governmental programs. The project also has gained the support of at least one private sector multinational mining company, which is crucial to ASM formalization.

4.4 EFFICIENCY

Financial Efficiency: Pact and its partners are implementing an acceptably efficient project, with reasonable funding allocations designated for labor, operating costs and output-based activities. The project has underspent its funding to date, partially due to the devaluation of the Colombian peso. The grantee estimates that there has been over US\$750,000 in cost savings to date due to this devaluation, which is almost nine percent of the total budget. As of mid-term, nearly 62 percent of the budget is still available to implement activities during the last 40 percent of the timeline, or final 19 months. Based on current cost savings, the project could feasibly be extended at no additional cost for up to six months.

Time and Administrative Efficiency: The **time gaps** between developing and approving key project documents—which are principally due to the project’s written deliverables not meeting USDOL technical requirements—have resulted in delays in the initiation and execution of project activities. These setbacks may reduce the project’s ability to carry out all project activities and/or provide the necessary follow-up in order to increase sustainability.

4.5 PROJECT MANAGEMENT

Key deliverables: There were a number of challenges and/or delays in delivering and approving key project documents and monitoring tools, including the project document (ProDoc), baseline study, comprehensive monitoring and evaluation plan (CMEP) and the project’s sampling strategy for its direct beneficiary monitoring system (DBMS). These difficulties can be attributed to a number of factors including: 1) the differences in understanding between donor and grantee with respect to the total number of direct beneficiaries as well as the implementation timeline; 2) the discrepancies between strategies described in the project proposal and those described in the CMEP; 3) the turnover of all three key project staff positions—including the project director, M&E official and livelihoods and education official—within the project’s first year; and 4) the delivery of project documents or monitoring tools that required technical feedback and editing before meeting USDOL standards.

Selection of Household and Child Beneficiaries: The project appropriately followed the household beneficiary selection guidelines that were defined during the CMEP process. The large numbers of child and adolescent beneficiaries would have led to an inordinate amount of time to process the information on an individual basis. Instead, the community selection criteria were appropriately applied to selected schools, which, in turn, made the appropriate assumption that all of the children attending that particular school in any given classroom are at risk of child labor.

Tracking Education, Labor and Economic Status: The project developed a practical proposal for tracking child beneficiaries’ education and labor status through the collection of data from a stratified random sample of education beneficiaries. While this is an unusual approach for USDOL-funded child labor elimination projects, which normally collect information from all child beneficiaries, this is an appropriate sampling technique for the project’s large, heterogeneous population.

Disjointed Implementation Approach: The project has largely been operating in a disjointed manner, weakening its potential impact. The turnover of key project management staff contributed to the execution of project activities in an isolated manner. There is still time, however, to improve the integration between project components.

4.6 SUSTAINABILITY

The project’s **formalization** and **public policy** components have the greatest potential for sustainability due to their alignment with government initiatives and strategies. The project’s formalization component directly supports the Colombian government’s ASM formalization goals and its strategies provide a clear contribution to the formalization process. Private sector support is crucial in the ASM formalization process, and the project has successfully gained the necessary support of at least one large multinational mining company.

The project’s **public policy** component also has great potential for sustainability, especially if the Technical Annex on CLM becomes an official part of the National Strategy for the Eradication of Child Labor (ENETI 2016-2026). Furthermore, if the project is successful in integrating CLM into the upcoming municipal development plans, funding will be allocated to support this issue through 2020. The project’s public policy component is inadequately staffed to successfully carry out the urgent lobbying activities and the upcoming Technical Annex pilot initiatives.

Sustainability of Education and Livelihood Components: The project’s **education** and **livelihood** strategies have fewer sustainable aspects. The formal education strategy shows some degree of sustainability at the local level; however, its scalability is uncertain if the project does not secure formal recognition from the Ministry of Education regarding the Pazalobien methodology’s fulfillment of civic education requirements. Regarding the non-formal and vocational education services, it is difficult to identify any sustainable aspects given the limited progress to date.

Sustainability of Livelihood Component: The livelihood strategies have some degree of sustainability once the pilot initiatives demonstrate some successful results. However, with just 19 months left to go, time is running short to design, pilot, disseminate results and scale-up livelihood production initiatives.

V RECOMMENDATIONS

The following **recommendations** are intended to provide the Somos Tesoro project staff and the donor with suggested actions that can further strengthen project outputs and outcomes.

1. **Improve coordination in the implementation of project strategies:** Under the guidance of the Somos Tesoro project director, develop a plan to improve coordination in the implementation of project activities in the four project components.
 - Encourage project staff from all four components in the targeted regions to meet more frequently as a team, and identify areas of possible collaboration such as the identification of out-of-school children and adolescents.
 - Assess the results of the increased coordination efforts, such as enhanced synergies among components, and disseminate findings to project staff and stakeholders.
2. **Provide additional staff support for public policy initiatives that are time-sensitive:** Under the direction of the project’s public policy officer, the project should place an immediate priority on the integration of CLM issues into municipal development plans. This will require additional support from project staff for urgent lobbying activities in each targeted municipality. Follow up with the planning and implementation of the Technical Annex pilot initiatives that can demonstrate the effectiveness of strategies to decrease CLM.
3. **Focus on livelihood strategies that are showing little progress:** Under the direction of the project’s livelihood and education officer, immediately address the two livelihood strategies that have made little or no progress: job skills training and production initiatives.
 - For job skills training, the project must complete its analysis of labor markets in each municipality in order to adapt employability trainings to local contexts. This ensures the applicability, relevance and sustainability of resulting activities. Partner with state agencies that offer job skills training such as SENA. Link job skills workshops with vocational education services.
 - Ensure the necessary buy-in and support for pilot initiatives among municipal authorities, private-sector stakeholders and civil society organizations. Select households from target municipalities, giving priority to subsistence miners among whom the largest concentration of CLM is found. Monitor the progress of pilot initiatives and disseminate results.
 - Consider requesting a decrease in the number of economic strengthening beneficiaries (L4) from 8,283 and an increase in the number of job-skills training beneficiaries (L2) from 1,500, keeping the total number of beneficiaries the same. This will allow for the project to augment the intensity of services and length of intervention for economic strengthening beneficiaries.
4. **Implement vocational education services in coordination with existing technical training institutes:** Under the direction of the project director and livelihood and education officer, ensure the implementation of vocational education services with SENA or other training institutions.
 - Consider requesting a decrease in the number of vocational education beneficiaries (E4) from 7,038 and an increase in the number of non-formal education beneficiaries (E3) from

400, keeping the total number of beneficiaries the same. This will allow for the project to augment the intensity of services and length of intervention for vocational education beneficiaries.

5. **Disseminate frequent updates on project progress and effectiveness:** Under the direction of the project’s communications officer, provide frequent updates to government counterparts and other key stakeholders, in the form of written communications and forums to review the project’s progress in implementing the planned activities and the objectively verifiable results of these activities.
6. **Seek formal endorsement from the Ministry of Education:** The project’s education partner, *Fundación Mi Sangre*, and project director should seek formal endorsement of the Pazalobien methodology from the Ministry of Education based on the effectiveness of the methodology in the targeted formal education institutions and the curriculum’s alignment with national civic education requirements. This will help ensure the sustainability of the Pazalobien methodology beyond the life of the project.
7. **Examine the root causes of high staff turnover:** Pact headquarter staff should examine the causes of high staff turnover during the project’s first two years and develop strategies to mitigate the unusually high rate of replacement in future projects of a similar nature.
8. **Review and possibly adjust the number of direct beneficiary targets:** Pact headquarters and USDOL staff should review and possibly adjust the number of direct beneficiary targets that is more realistic and permit a more intensive package of livelihood and education services for beneficiaries.⁴⁸
9. **Apply for a no-cost extension:** Somos Tesoro project management should consider applying for a no-cost project extension for up to six months, based on the current cost savings. This additional time would enable the implementation and analysis of quality demonstration/pilot initiatives for the livelihood, vocational education and public policy components.

⁴⁸ On May 18, 2016, USDOL approved Pact’s proposal to reduce the number of direct beneficiaries as follows: 13,000 children for education services and 3,500 households for livelihood services.

ANNEXES

ANNEX A: TERMS OF REFERENCE

Background and Justification

The Office of Child Labor, Forced Labor, and Human Trafficking (OCFT) is an office within the Bureau of International Labor Affairs (ILAB), an agency of the U.S. Department of Labor (USDOL). OCFT activities include research on international child labor; supporting U.S. government policy on international child labor; administering and overseeing cooperative agreements with organizations working to eliminate child labor around the world; and raising awareness about child labor issues.

Since 1995, the U.S. Congress has appropriated over \$1 billion to USDOL for efforts to combat exploitive child labor internationally. This funding has been used to support technical cooperation projects to combat exploitive child labor in more than 93 countries around the world. Technical cooperation projects funded by USDOL range from targeted action projects in specific sectors of work to more comprehensive projects that support national efforts to eliminate child labor. USDOL-funded child labor elimination projects generally seek to achieve five major goals:

1. Reducing exploitative child labor, especially the worst forms through the provision of direct educational services and by addressing root causes of child labor, including innovative strategies to promote sustainable livelihoods of target households;
2. Strengthening policies on child labor, education, and sustainable livelihoods, and the capacity of national institutions to combat child labor, address its root causes, and promote formal, non-formal and vocational education opportunities to provide children with alternatives to child labor;
3. Raising awareness of exploitative child labor and its root causes, and the importance of education for all children and mobilizing a wide array of actors to improve and expand education infrastructures;
4. Supporting research, evaluation, and the collection of reliable data on child labor, its root causes, and effective strategies, including educational and vocational alternatives, microfinance and other income generating activities to improve household income; and
5. Ensuring the long-term sustainability of these efforts.

The approach of USDOL child labor elimination projects – decreasing the prevalence of exploitive child labor through increased access to education and improving the livelihoods of vulnerable families – is intended to nurture the development, health, safety, and enhanced future employability of children engaged in or at-risk of entering exploitive labor.

USDOL-funded child labor elimination projects are designed to ensure that children in areas with a high incidence of child labor are withdrawn and integrated into educational settings, and that they persist in their education once enrolled. In parallel, the project

seeks to avert at-risk children from leaving school and entering child labor. The projects are based on the notion that the elimination of exploitative child labor depends, to a large extent, on improving access to, quality of, and relevance of education. Without improving educational quality and relevance, children withdrawn/prevented from child labor may not have viable alternatives and could resort to other forms of hazardous work.

In FY2010, Congress provided new authority to ILAB to expand activities related to income generating activities, including microfinance, to help projects enhance income generation and address poverty more effectively. The addition of this livelihood focus is based on the premise that if adult family members have sustainable livelihoods, they will be less likely to have their dependent children work and more likely to keep them to school.

The approach of USDOL child labor elimination projects – decreasing the prevalence of exploitive child labor through increased access to education and improving the livelihoods of vulnerable families – is intended to nurture the development, health, safety, and enhanced future employability of children engaged in or at-risk of entering exploitive labor.

Project Context

Colombia is the second largest gold producer and has the largest coal reserves in the continent. The Government of Colombia (GoC) intends to double coal exports, quadruple gold exports, and triple the area under mining by 2019. In recent years, the improving security situation in the country has increased market confidence in Colombia, attracting foreign investors. By the end of 2010, 59% of Colombian territory was either under concession or had mining applications pending.

Despite the boom in industrial mining, most mineral production in Colombia stems from the artisanal and small-scale miners. Artisanal and small-scale mining (ASM) is characterized by the lack of titles to mines, poor environmental and occupational safety and health (OSH) standards, lack of legal employment contracts and social security, inefficient and fluctuating productivity with low levels of working and investment capital, inadequate technical knowledge, and rudimentary tool and techniques with low levels of mechanization. There are approximately 6,000 artisanal mines in Colombia of which millions of Colombians depend for their livelihoods.

Despite the economic importance of artisanal mining, the 2001 Mining Code re-categorized it as ‘illegal mining’, thereby leaving artisanal miners in judicial limbo. To address this legal anomaly and recognize that many of the potential economic benefits of the sector are lost through poor mining practices, the GoC is now focused on the process of formalizing artisanal mining by developing a regulatory and policy framework. However, government authorities lack the capacity and resources to regulate and supervise the informal mining sector, and to ensure that basic occupational health and safety standards are met.

Unregulated mines can be magnets for child labor. There are no reliable statistics on the incidence of child labor in the mining sector. However, reports on the number of children engaged in mining activities range from 5,200 to 200,000.⁴⁹ Children working in the mining sector are often involved in a wide range of activities including working directly in mineral extraction, transportation, and processing as well as in ancillary activities such as selling food and providing supplies to the miners.

Mining is considered to be one of the ‘worst forms of child labor’ (WFCL) as children are required to carry out hard, physical labor in hazardous and potentially corrupting conditions. The physical and mental stress they face is proportionately greater in children than in adults due to their growing bones and organs, their vulnerability to disease and toxins, and their need for safe, nurturing environments to support their development. Their precarious, informal living and working conditions go hand-in-hand with weak state presence, which leads to even greater disenfranchisement and vulnerability because of lack access to basic household services and limited access to health care and education, including referral services for child protection.⁵⁰

Project Specific Information

The Somos Tesoro project aims to support the efforts of the GoC to formalize the artisanal mining sector by implementing labor standards to improve working conditions as a strategy for mitigating the risk of injuries to adult workers, which is a lead causal factor for child labor. The project intends to increase the capacity of the Colombian government agencies, such as the Ministries of Labor and Mines and Energy (MME), the National Agency of Mining (Agencia Nacional Minera, ANM), and the Colombian Institute for Family Well Being, ICBF) to identify and address child labor and OSH concerns and improve coordination between all stakeholders at the national, departmental and municipal levels. The project strategy aims to identify different levels of vulnerability, exposure, and risk that the children face.

The project works in the Department of Antioquia with a focus on gold and in the Department of Boyacá with a focus on coal. The project works with artisanal mining communities with a focus on households with children who are engaged in child labor in mines and those at high risk of entering child labor. ‘Children at high-risk of entering child labor’ refers to children who experience a set of conditions or circumstances that make it more likely that the child will be employed in child labor (e.g. siblings of working children, parent working in mining or who is economically incapacitated by an occupational safety and health (OSH)-related accident).⁵¹

⁴⁹Colombian Ministry of Labor’s System for the Identification and Registration of Child Labor (SIRITI), available at <http://apps.mintrabajo.gov.co/siriti/display.aspx>. See also Unos 200.000 niños trabajan como mineros en Colombia, según el Gobierno, *Europapress.co*, February 10, 2007, available at <http://bit.ly/ZgxWrz>. See also Polémico Tratado sobre el Mercurio Empeorará la Situación de los Niños Mineros, *Organic Buenos Aires*, July 4, 2012, available at <http://bit.ly/YAA230>.

⁵⁰ The description of the project context was taken from the project technical proposal.

⁵¹ The project specific information was taken from the project technical proposal.

The project’s current Theory of Change is reflected in its results framework, which was developed during the development of the project’s comprehensive monitoring and evaluation plan (CMEP). The project’s overall objective is the reduction in the number of children and adolescents (5-17) involved in child labor, with a focus on child labor in mining in target mining municipalities of the Departments of Antioquia and Boyacá, Colombia. The intermediate objectives are listed below:

1. ASM activity that complies with occupational health and mining safety standards to reduce risks that lead to accidents or sicknesses, as well as other steps to mine formalization;
2. Target households with reduced socioeconomic vulnerability;
3. Target departments and municipalities with mechanisms for child protection and prevention of child labor in mining;
4. Institutional mechanisms in place which contribute to the elimination of child labor in mining;
5. Children and adolescents at risk of or engaged in child labor with increased opportunities to access quality education.

Purpose and Scope of Evaluation

The main purposes of the mid-term evaluation are:

- To review the on-going progress and performance of the Project (extent to which immediate objectives and outputs are being achieved),
- To examine the likelihood of the Project achieving its objectives and targets,
- Identify ways to improve delivery and enhance coordination with key stakeholders,
- To identify promising practices and ways to promote their sustainability.

The mid-term evaluation should provide all stakeholders with information to assess and revise, as it is needed; work plans, strategies, objectives, partnership arrangements and resources.

Evaluation Scope

The evaluation will focus on the Somos Tesoro project mentioned above, its achievements, strategies and its contribution to Colombia’s efforts to address child labor in mining and improve working conditions in artisanal and small-scale coal and gold mining in the Departments of Antioquia and Boyacá.

The evaluation should identify intended (i.e. planned) and unintended results in terms of outputs and outcomes. Some unintended changes could be as important as the ones planned. Therefore, the evaluation team should reflect on them for learning purposes.

The analytical scope should include identifying levels of achievement pertaining to Project objectives and explaining *how* and *why* they have been attained in such ways (and not in other alternative expected ways, if it would be the case). The purpose is to help the stakeholders to learn from the on-going experience.

Intended Users

This mid-term evaluation should provide USDOL, PACT, the Government of Colombia, sub-grantees (Alliance for Responsible Mining, *Fondo Acción*, and Fundación Mi Sangre) and other project stakeholders an assessment of the project’s experience in implementation and, to a limited extent, its impact on project beneficiaries. USDOL/OCFT, PACT management, and sub-grantees will use the evaluation results as a learning tool regarding the relevance of the approach and strategy used by the project. The evaluation results also should provide information, supported by project and evaluation data, that suggest how the project could enhance its impact during the remaining time of implementation and sustain the benefits that have been or will be generated. The report will be published on the USDOL website, so the report should be written as a standalone document, providing the necessary background information for readers who are unfamiliar with the details of the project. The final report of the mid-term evaluation should be translated by PACT into Spanish for its dissemination.

Evaluation Questions

Category	Evaluation Questions
<i>Relevance</i>	1. How relevant are the components and integrated approach of the Project (ASM, livelihoods, public policies, education) to the ultimate goal of reducing child labor in mining in Colombia?
<i>Project Design and Validity</i>	2. Is the design of the Project/Theory of Change sensitive to the social, economic and political context in the intervention zones? 3. Are the results to date consistent with the Theory of the Change of the Project? 4. Identify any unexpected challenges or factors that could impact the theory of change (in either a positive or negative way).
<i>Project Progress and Effectiveness</i>	5. Is progress of strategies of each Project component (ASM, livelihoods, public policies, education) in line with designated targets? 6. What barriers have affected the achievement of the Project objectives in each component? 7. How effective are the project’s interventions (in mining occupational safety and health, education, livelihoods, and policy)? 8. How successful is the project’s strategy to create safe environments for children? 9. How effective does the <i>Pazlobien</i> methodology appear to be in addressing child labor in areas of intervention? What factors may contribute to its success? The <i>Pazlobien</i> methodology includes activities with teachers/schools, children, youth, and schools for parents. 10. How do the mine formalization and livelihood strategy incorporate child labor?

	<p>11. How effectively is the project addressing the situation of out-of-school children?</p> <p>12. Have the project’s communications strategy and awareness-raising activities been effective?</p> <p>13. Has the project involved key stakeholders (national, departmental, and local government agencies, private sector, and civil society organizations) in its efforts against child labor, with a focus on child labor in mining?</p> <p>14. Has the project’s coordinating committee facilitated collaboration with government agencies at the various levels?</p> <p>15. Identify potential stakeholders/areas or synergies for future collaboration.</p>
<i>Efficiency</i>	16. Are the Project activities efficient in terms of financial and human resources in relation to its results and outputs?
<i>Effectiveness of Project Management</i>	<p>17. What have been the major management/implementation challenges encountered by PACT, project staff, and implementing organizations in the first half of the project?</p> <p>18. Are the CMEP tools useful and appropriate for the Project implementation and Project Management?</p> <p>19. How is data being used to assist in Project implementation?⁵²</p> <p>20. How is the project tracking service provision, the work status of child beneficiaries, and the economic status of beneficiary households?</p>
<i>Sustainability</i>	<p>21. What strategies/activities are most likely to be sustainable and transferable to local institutions (government/communities)?</p> <p>22. What additional efforts/actions should be taken in order to promote the sustainability of each component of the Project?</p>

Evaluation Methodology and Timeframe

The evaluation methodology will consist of the following activities and approaches. While the evaluation team may propose changes in the methodology, any such changes should be discussed with USDOL and the project, provided that the research and analysis suggest changes and provided that the indicated range of questions is addressed, the purpose maintained, and the expected outputs produced at the required quality.

Approach

The evaluation approach will be qualitative and participatory in nature, and use project documents including PMP and target table data to provide quantitative information. Qualitative information will be obtained through field visits, interviews and focus groups as appropriate. Opinions coming from beneficiaries will improve and clarify the use of

⁵² Somos Tesoro highlights the importance of evaluating access to secondary data sources (government databases).

quantitative analysis. The participatory nature of the evaluation will contribute to the sense of ownership among beneficiaries.

Quantitative data will be drawn from the CMEP, budget, Performance Reporting Form (PRF), and project reports (such as TPRs, Federal Financial Reports, and research reports) to the extent that it is available and incorporated in the analysis. The evaluation approach will be independent in terms of the membership of the evaluation team. Project staff and implementing partners will generally only be present in meetings with stakeholders, communities, and beneficiaries to provide introductions. The following additional principles will be applied during the evaluation process:

Methods of data collection and stakeholder perspectives will be triangulated for as many as possible of the evaluation questions.

Efforts will be made to include parents’ and children’s voices and beneficiary participation generally, using child-sensitive approaches to interviewing children following the ILO-IPEC guidelines on research with children on the worst forms of child labor (<http://www.ilo.org/ipecinfo/product/viewProduct.do?productId=3026>) and UNICEF Principles for Ethical Reporting on Children (http://www.unicef.org/media/media_tools_guidelines.html).

Gender and cultural sensitivity will be integrated in the evaluation approach.

Consultations will incorporate a degree of flexibility to maintain a sense of ownership of the stakeholders and beneficiaries, allowing additional questions to be posed that are not included in the TOR, whilst ensuring that key information requirements are met.

As far as possible, a consistent approach will be followed in each project site, with adjustments made for the different actors involved, activities conducted, and the progress of implementation in each locality.

Lead Evaluator

Michele Gonzalez Arroyo will serve as the lead evaluator. Michele is an education, training and evaluation professional. Michele has evaluated more than 25 USDOL-funded labor and child labor projects in over 15 countries in Central America, South America, the Caribbean, and Southeast Asia. She is familiar with the project, its achievements and challenges, and the operating environment.

Michele has twenty years of practical experience planning and implementing education and training programs focusing on labor, OSH and education issues for underserved populations. As a certificated secondary school teacher, she also brings experience teaching youth in both formal and non-formal educational settings. Her professional background in education, labor and public health, as well as her broad range of international experience, has allowed her to carry out a wide array of evaluations for international development projects that focus on child labor, labor rights and occupational health and safety.

Data Collection Methodology

1. Document Review

- Pre-field visit preparation includes extensive review of relevant documents.
- During fieldwork, documentation will be verified and additional documents may be collected.
- Documents may include:
 - M&E documents (provided by USDOL and the project) including monitoring reports against the CMEP, PRF and Performance Monitoring Report;
 - Needs assessments—both technical and institutional needs assessments;
 - Project document and revisions (or revision requests);
 - Cooperative Agreement;
 - Management Procedures and Guidelines FY 2013;
 - Technical Progress and Status Reports;
 - Relevant Federal Financial Reports and up-to-date Outputs Based Budget;
 - Work plans;
 - Correspondence related to Technical Progress Reports;
 - Research or other reports undertaken (baseline studies, etc.);
 - Project files (including school records) as appropriate.

2. Question Matrix

Before beginning fieldwork, the evaluator will create a question matrix, which outlines the source of data from where the evaluator plans to collect information for each TOR question. This will help the evaluator make decisions regarding allocation of time in the field. It will also help the evaluator explore all possible avenues for data triangulation and to clearly note the source of evaluation findings. The Contractor will share the question matrix with USDOL if planning and preparation time permits.

3. Interviews with stakeholders

Informational interviews will be held with as many project stakeholders as possible. The evaluation team will solicit the opinions of children, community members in areas where awareness-raising activities occurred, parents of beneficiaries, teachers, government representatives, legal authorities, union and NGO officials, project implementers, and project staff regarding the project's accomplishments, design, effectiveness, efficiency, management and sustainability.

Depending on the circumstances, these meetings will be one-on-one or group interviews. Technically, stakeholders are all those who have an interest in a project, for example, as

implementers, direct and indirect beneficiaries, community leaders, donors, and government officials. Thus, it is anticipated that meetings will be held with:

- OCFT staff responsible for this evaluation and project prior to the commencement of the field work
- Implementers at all levels, including any official project partners involved
- Headquarters, country director, project managers, and field staff of grantee and partner organizations
- Government ministry officials and local government officials who have been involved in or are knowledgeable about the project
- Community leaders, members, and volunteers
- School teachers, assistants, school directors, educational personnel as relevant
- Project beneficiaries
- International NGOs and multilateral agencies working in the area
- Other child protection and/or education organizations, committees and experts in the area and region
- U.S. Embassy staff member

4. Field Visits

The evaluator will visit a selection of project sites. The final selection of field sites to be visited will be made by the evaluator. Every effort should be made to include some sites where the project experienced successes and others that encountered challenges, as well as a good cross section of sites in targeted capacity, advocacy, and policy sectors. During the visits, the evaluator will observe the activities and outputs developed by the project, and conduct focus groups with child beneficiaries. Interviews also will be conducted with representatives from local governments, NGOs, community leaders and educators associated with the project.

Ethical Considerations and Confidentiality

The evaluation mission will observe utmost confidentiality related to sensitive information and feedback elicited during the individual and group interviews. To mitigate bias during the data collection process and ensure a maximum freedom of expression of the implementing partners, stakeholders, communities, and beneficiaries, implementing partner staff will not be present during interviews. However, implementing partner staff may accompany the evaluator to make introductions whenever necessary, to facilitate the evaluation process, make respondents feel comfortable, and to allow the evaluator to observe the interaction between the implementing partner staff and the interviewees.

Stakeholder Meeting

Following the field visits, the evaluator will conduct a stakeholders’ meeting that brings together a wide range of implementing partners and other interested parties. The list of participants to be invited will be drafted prior to the evaluator’s visit and confirmed in consultation with project staff during fieldwork.

The meeting will be used to present the major preliminary findings and emerging issues, solicit recommendations, and obtain clarification or additional information from stakeholders, including those not interviewed earlier. The evaluator will determine the meeting agenda, in consultation with project staff. Some specific questions for stakeholders may be prepared in advance to guide the discussion, which may include a brief written feedback form.

The agenda is expected to include some of the following items:

- Presentation by the evaluator of the key preliminary findings
- Feedback and questions from stakeholders on the findings
- Opportunity for implementing partners who were not interviewed to present their views on progress and challenges in their locality
- If appropriate, an exercise to determine the project’s Strengths, Weaknesses, Opportunities and Threats (SWOT)
- Discussion of recommendations to improve the implementation during the remaining period and ensure sustainability. Consideration will be given to the value of distributing a feedback form for participants to nominate their “action priorities” for the remainder of the project.
- A debrief call will be held with the lead evaluator and USDOL after the stakeholder workshop to provide USDOL with preliminary findings and solicit feedback as needed. This is to substitute for the fact that USDOL will likely not attend the stakeholder conference in Bogotá.

Limitations

Fieldwork for the evaluation will last two weeks, and the evaluator will not have enough time to visit all project sites. As a result, the evaluator will not be able to take all sites into consideration when formulating her findings. All efforts will be made to ensure that the evaluator is visiting a representative sample of sites, including some that have performed well and others that have experienced challenges.

This is not a formal impact assessment. Findings for the evaluation will be based on information collected from background documents and in interviews with stakeholders, project staff, and beneficiaries. The accuracy of the evaluation findings will be determined by the integrity of information provided to the evaluator from these sources.

Furthermore, the ability of the evaluator to determine efficiency will be limited by the amount of financial data available. A cost-efficiency analysis is not included because it would require impact data, which is not available. An assessment on project efficiency is

expected to be included in the evaluation (inputs to outputs); see evaluation questions above.

Timetable

The tentative timetable is as follows. Actual dates may be adjusted as needs arise.

Task	Date
Background project documents sent to contractor	Dec 22
Conference call to discuss logistics and field itinerary	Jan 21
Evaluation purpose and questions submitted to contractor	Jan 25
Draft TOR sent to OCFT and grantee for comment	Jan 29
Finalize field itinerary and stakeholder list for workshop	Feb 5
Cable clearance information submitted to USDOL	Feb 1
Finalize TOR with USDOL and Grantee and submit to both parties	Feb 8
Conduct interviews with USDOL and PACT home office staff	TBD
Fieldwork	Feb 15-26
Post-fieldwork debrief call	Mar 7
Draft report to USDOL & Grantee for 48 hour review	TBD
USDOL & Grantee send 48 hour review comments	Mar 23
Revised report to USDOL & Grantee for 2-week review	TBD
USDOL & Grantee send comments after full 2-week review	Apr 8
Final draft report to USDOL with evaluator comments/responses	Apr 13
Final report sent to USDOL (edited and 508 compliant)	Apr 22

Expected Outputs/Deliverables

Fifteen working days following the lead evaluator’s return from fieldwork, a first draft evaluation report will be submitted to the Contractor. The report should have the following structure and content:

- Table of Contents
- List of Acronyms
- Executive Summary (providing an overview of the evaluation, summary of main findings/lessons learned/good practices, and key recommendations)
- Evaluation Objectives and Methodology
- Project Context and Description
- Findings (answers to evaluation questions with supporting evidence)
- Conclusions (interpretation of facts including criteria for judgements)

- Recommendations (critical for successfully meeting project objectives; judgments on what changes need to be made for future projects)
- Annexes - including list of documents reviewed; interviews/meetings/site visits; stakeholder workshop agenda and participants; TOR; etc.

The total length will not exceed 30 pages for the main body of the report, excluding the executive summary and annexes.

The first draft of the report will be circulated to OCFT and key stakeholders individually for their review. Comments from stakeholders will be consolidated and incorporated into the final reports as appropriate, and the lead evaluator will provide a response to OCFT, in the form of a comment matrix, as to why any comments might not have been incorporated.

While the substantive content of the findings, conclusions, and recommendations of the report shall be determined by the lead evaluator, the report is subject to final approval by ILAB/OCFT in terms of whether or not the report meets the conditions of the TOR.

Evaluation Management and Support

The lead evaluator is responsible for conducting the evaluation according to the terms of reference (TOR). She will:

- Review project background documents
- Review the evaluation questions and refine the questions, as necessary
- Develop and implement an evaluation methodology (i.e., conduct interviews, review documents) to answer the evaluation questions, including a detailed discussion of constraints generated by the retrospective nature of this evaluation methodology and data collection and how those constraints could be avoided in future projects
- Conduct planning meetings/calls, as necessary, with USDOL and PACT
- Decide composition of itinerary, field visits, and interviews to ensure objectivity of the evaluation
- Present verbally preliminary findings to project field staff and other stakeholders as determined in consultation with USDOL and PACT
- Prepare initial drafts (48-hour and 2-week reviews) of the evaluation report and share with USDOL and PACT
- Prepare and submit final report

USDOL is responsible for:

- Providing project background documents to the evaluator
- Obtaining country clearance

- Briefing PACT on evaluation to ensure coordination and preparation for evaluator
- Reviewing of and providing comments on the draft evaluation reports
- Approving the final draft of the evaluation report
- Participating in the post-trip debriefing

PACT is responsible for:

- Reviewing and providing input to the TOR
- Providing project background materials to the evaluator
- Providing information on all project sites for the evaluator to choose from in deciding the evaluation itinerary
- Preparing a list of recommended interviewees
- Scheduling meetings for field visit and coordinating all logistical arrangements
- Providing local ground transportation
- Reviewing and providing comments on the draft evaluation reports
- Participating in the post-fieldwork stakeholder debrief to review and discuss preliminary findings
- Provide local ground transportation to and from meetings and interviews
- Organizing, participating in, and paying for the stakeholder meeting
- Translating final report into Spanish for dissemination among partner organizations and relevant stakeholders

ANNEX B: INTERVIEW EVALUATION INTERVIEW SCHEDULE

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ANNEX C: INTERVIEW GUIDES

Questions	Stakeholder Group			
	Somos Tesoro Staff	Gov’t Officials	Educators	Beneficiaries
1. ¿Es relevante el diseño integrado del proyecto para lograr la meta de reducir el trabajo infantil minero en Colombia?	x	x		
2. ¿Cómo tomó en cuenta el diseño del proyecto/teoría de cambio el contexto social, económico y político en las zonas de intervención?	x	x		
3. Según los resultados hasta la fecha, ¿piensa que esta teoría de cambio todavía es válida? ¿por qué? o ¿cómo lo modificaría?	x			
4. ¿Cuáles han sido los retos o factores que podrían tener un impacto en la teoría de cambio?	x			
5. ¿Es suficiente el progreso de cada componente del proyecto para lograr los números meta? (formalización de la MAPE, medios de vida, políticas públicas, educación)	x			
6. ¿Cuáles barreras han afectado el logro de los objetivos para cada componente?	x			
7. ¿Cuáles han sido las fortalezas y debilidades de las intervenciones del proyecto? <ul style="list-style-type: none"> ¿Cuáles estrategias han creado para promover un ambiente seguro para los NNA? ¿Dónde, cómo y con quién están aplicando el currículo de Pazalobien? ¿Cuáles son los factores que podrían contribuir al objetivo principal (prevención del trabajo infantil)? 	x	x		

<ul style="list-style-type: none"> • ¿Cómo están incorporando el tema de trabajo infantil en la estrategia de formalización minera y medios de vida? • ¿Cuáles actividades están dirigidos a la situación de NNA desescolarizados? ¿Cómo se mide la eficacia de estas actividades? • ¿Cuáles son las estrategias de comunicación y sensibilización? ¿Cómo se está midiendo la eficacia de estas estrategias? 				
<p>8. ¿Cuál ha sido la participación de los actores clave en el proyecto?</p> <ul style="list-style-type: none"> • Comité de coordinación: ¿Cómo han ayudado para lograr la colaboración con las diferentes actores gubernamentales al nivel local, departamental y nacional? 	x	x		
<p>9. ¿Cree que el proyecto ha utilizado los recursos del proyecto—tanto los fondos como el personal—de una manera eficiente? ¿o cree que existe algunas alternativas que significan menos inversión y logran los mismo resultados?</p>	x	x	x	
<p>10. ¿Cuáles han sido los mayores retos enfrentados por cada uno de los diferentes socios para implementar las actividades hasta la fecha?</p>	x			
<p>11. ¿Son útiles y apropiadas las herramientas del CMEP para la implementación y manejo del proyecto?</p> <p>12. ¿Cómo se está utilizando la información generada para mejorar la implementación del proyecto?</p> <p>13. ¿Cuál es el sistema de monitoreo para documentar la implementación de servicios, el estado laboral de los NNA beneficiarios y el estado económico de la unidad familiar?</p>	x			
<p>14. ¿Cuáles actividades/iniciativas tienen mayor probabilidad de ser sostenibles y transferibles a otras comunidades o instituciones locales, antes de que se termine el proyecto? Explique.</p>	x	x	x	x
<p>15. ¿Cuáles pasos adicionales deben tomar para promover la sostenibilidad de los diferentes componentes del proyecto?</p>	x	x	x	x

ANNEX D: LIST OF DOCUMENTS REVIEWED

1. Colombia SCA 13.06 June 2013.pdf
2. Somos Tesoro Cooperative Agreement (IL-249191375K).pdf
3. Somos Tesoro Proposal Technical Narrative REDACTED.pdf
4. Outputs Based Budget final 19-sep-2013.pdf
5. 2013 MPG.pdf
6. CMEP.PDF
7. FY15 OCFT Baseline-Follow Up Prevalence Survey Guidance.pdf
8. Somos Tesoro Coordinating Committee.pdf
9. Somos Tesoro October 2013 TPR.PDF
10. Somos Tesoro April 2014 TPR with DOL&PACT feedback.pdf
11. Somos Tesoro April 2014 TPR workplan.xlsx
12. Somos Tesoro October 2014 TPR with DOL & PACT feedback.pdf
13. Somos Tesoro October 2014 TPR Annex A.xlsx
14. Somos Tesoro April 2015 TPR with DOL & PACT feedback.pdf
15. Somos Tesoro April 2015 TPR Annex A.xlsx
16. Somos Tesoro April 2015 TPR workplan.xlsx
17. Somos Tesoro April 2015 TPR Annex C performance.docx
18. Somos Tesoro October 2015 TPR with DOL & PACT feedback.pdf
19. Somos Tesoro October 2015 TPR Annex A.xlsx
20. Somos Tesoro October 2015 Annex C performance.docx
21. Somos Tesoro October 2015 TPR Updated wokplan.xlsx
22. Somos Tesoro October 2015 TPR Sustainability Matrix draft.pdf
23. Somos Tesoro October 2015 TPR Highlights.pdf
24. Somos Tesoro Draft Project Document 2.10.16.pdf

25. Somos Tesoro Draft Work Plan 01.13.16 (1).xlsx

25. Somos Tesoro Draft Work Plan 01.13.16.xlsx

ANNEX E: LIST OF PERSONS INTERVIEWED

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